

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

David BOTSTEIN, et al.

Application Serial No. 09/997,542

Filed: November 15, 2001

For: **PRO1281 ANTIBODIES**



Examiner: Landsman, Robert S.

Art Unit: 1647

Confirmation No: 7269

Attorney's Docket No. 39780-2730 P1C26

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**DATE MAILED: JANUARY 26, 2006**

**ON APPEAL TO THE BOARD OF PATENT APPEALS AND INTERFERENCES**  
**APPELLANTS' BRIEF**

**MAIL STOP APPEAL BRIEF - PATENTS**

Commissioner for Patents

P.O. Box 1450

Alexandria, Virginia 32613-1450

Dear Sir:

This Appeal Brief, filed in connection with the above captioned patent application, is responsive to the Final Office Action mailed on August 11, 2005. A Notice of Appeal was filed herein on October 28, 2005. This Appeal Brief is being timely filed requesting a one-month Extension of Time with the required fees. Appellants hereby appeal to the Board of Patent Appeals and Interferences from the final rejection in this case.

In addition, Appellants request the PTO to take note of the Revocation and Power of Attorney and Change of Address filed on February 20, 2003, and kindly direct all future correspondence to the address indicated, *i.e.*, to:

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The following constitutes the Appellants' Brief on Appeal.

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## **I. REAL PARTY IN INTEREST**

The real party in interest is Genentech, Inc., South San Francisco, California, by an assignment of the parent application, U.S. Patent Application Serial No. 09/941,992 recorded November 16, 2001, at Reel 012176 and Frame 0450.

## **II. RELATED APPEALS AND INTERFERENCES**

The claims pending in the current application are directed to a polypeptide referred to herein as "PRO1281." There exist two related patent applications, (1) U.S. Patent Application Serial No. 09/989,726, filed November 19, 2001 (containing claims directed to nucleic acids encoding PRO1281 polypeptides), and (2) U.S. Patent Application Serial No. 09/993,604, filed November 14, 2001 (containing claims directed to PRO1281 polypeptides). U.S. Patent Application Serial No. 09/989,726 (nucleic acid case) has been **allowed** and the issue fee has been paid. The related U.S. Patent Application Serial No. 09/993,604 application is also under final rejection by the same Examiner and based upon the same outstanding rejections is being appealed independently and concurrently herewith.

## **III. STATUS OF CLAIMS**

Claims 119-121 and 123 are in this application.

Claims 1-118, 122 and 124 have been canceled.

Claims 119-121 and 123 stand rejected and Appellants appeal the rejection of these claims.

## **IV. STATUS OF AMENDMENTS**

All previous amendments have been entered. A copy of the rejected claims in the present Appeal is provided as Appendix A.

## **V. SUMMARY OF CLAIMED SUBJECT MATTER**

The invention claimed in the present application is related to an isolated antibody and antibody fragments that specifically binds to the polypeptide of SEQ ID NO: 326 (Claim 119), referred to in the present application as "PRO1281." The invention is further directed to monoclonal antibodies (Claim 120), humanized antibodies (Claim 121), and labeled antibodies (Claim 123) that specifically bind to the polypeptide of SEQ ID NO: 326. The PRO1281 gene

was shown for the first time in the present application to be significantly amplified in human colon cancers as compared to normal, non-cancerous human tissue controls (Example 170).

Support for the preparation and uses of antibodies is found throughout the specification, including, for example, pages 390-395. The preparation of antibodies is described in Example 144, while Example 145 describes the use of the antibodies for purifying the polypeptides to which they bind. Isolated antibodies are defined in the specification at page 315, line 31. Support for monoclonal antibodies is found in the specification at, for example, page 390, line 17, to page 392, line 3. Support for humanized antibodies is found in the specification at, for example, page 392, line 4, to page 393, line 6. Support for antibody fragments is found in the specification at, for example, page 314, line 30 onwards. Support for labeled antibodies is found in the specification at, for example, page 316, lines 3.

The amino acid sequence of the native "PRO1281" polypeptide and the nucleic acid sequence encoding this polypeptide (referred to in the present application as "DNA59820-1549") are shown in the present specification as SEQ ID NOs: 326 and 325, respectively, and in Figures 233 and 232, described on page 299, lines 9-12. The full-length PRO1281 polypeptide having the amino acid sequence of SEQ ID NO:326 is described in the specification at, for example, on page 31 and pages 209-211 and the isolation of cDNA clones encoding PRO1281 of SEQ ID NO:326 is described in Example 102, page 485-486 of the specification.

Finally, Example 170, in the specification at page 539, line 19, to page 555, line 5, sets forth a 'Gene Amplification assay' which shows that the PRO1281 gene is amplified in the genome of certain human colon cancers (see Table 9, page 554). The profiles of various primary colon tumors used for screening the PRO polypeptide compounds of the invention in the gene amplification assay are summarized on Table 8, page 546 of the specification.

## **VI. GROUNDS OF REJECTION TO BE REVIEWED ON APPEAL**

1. Whether Claims 119-121 and 123 are entitled to the priority date of based on a proper priority claim to U.S. Provisional Patent Application Serial No. 60/141037, filed June 23, 1999.

2. Whether Claims 119-121 and 123 satisfy the utility/ enablement requirement under 35 U.S.C. §§101/112, first paragraph.

3. (a) Whether Claims 119-121 and 123 are anticipated under 35 U.S.C. §102(b) by Baker (WO99/63088 - dated December 1999).

(b) Whether Claims 119-121 and 123 are anticipated under 35 U.S.C. §102(a) by Tang (WO 01/53312 - dated July 2001).

4. Whether Claims 119-121 and 123 are patentable under 35 U.S.C. §103(a) over Weimann (2001) in view of Tang *et al.* (WO 01/53312 - dated July 2001).

## **VII. ARGUMENTS**

### **Summary of the Arguments:**

#### **Issue 1: U.S. Provisional Patent Application Serial No. 60/141,037 Provides Proper Priority Claim for Instant Application**

The instant application has not been granted the earlier priority date on the grounds that the 60/141037 application fails to provide utility under 35 U.S.C. §101. For the same detailed reasons discussed below under Issue 2 (utility) for the instant application, Appellants maintain that the results of the gene amplification assay for PRO1281 was sufficiently disclosed in U.S. Provisional Patent Application Serial No. 60/141,037, filed June 23, 1999, to which proper priority has been claimed in this application. Hence, the present application should be entitled to at least the priority date of **June 23, 1999** for the instant application.

#### **Issue 2: Utility/ Enablement**

Appellants rely upon the gene amplification data of the PRO1281 gene for patentable utility of the PRO1281 polypeptides. This data is clearly disclosed in the instant specification in Example 170 which discloses that the gene encoding PRO1281 showed significant amplification, ranging from **2.099 fold to 2.219-fold** in different colon primary tumors. Therefore, such a gene is useful as a marker for the diagnosis of colon cancer, and for monitoring cancer development and/or for measuring the efficacy of cancer therapy.

The Examiner asserted in the Final Office Action mailed August 11, 2005 that amplification of the PRO1281 polynucleotide does not impart a specific, substantial, and credible utility for the PRO1281 polypeptide and its antibodies. In support of this assertion, the Examiner cited references by Pennica *et al.*, Konopka *et al.*, Haynes *et al.* and Hu *et al.* and also maintained previous rejections based on Sen *et al.*

Appellants submit that, the teachings of Pennica *et al.* and Konopka *et al.* are not directed towards genes in general but to a single gene or genes within a single family and thus, their teachings cannot support a general conclusion regarding correlation between gene amplification and mRNA or protein levels. Further, Appellants submit that the teachings of Haynes *et al.* in fact, meets the "more likely than not standard" and shows that a positive correlation exists between mRNA and protein. And based on the nature of the statistical analysis performed in one class of genes in Hu *et al.*, the Examiner's conclusions are not reliably supported. Thus, Appellants submit that these references do not conclusively establish a *prima facie* case for lack of utility.

Appellants further submit that Sen *et al.* in fact support the Appellants' position that even aneuploidy, which may be a feature of either cancerous or pre-cancerous tissue or damaged tissue, is still useful to diagnose the propensity towards cancer or to diagnose cancer itself.

Appellants had also submitted ample evidence to show that, in general, if a gene is amplified in cancer, it is more likely than not that the encoded protein will also be expressed at an elevated level. First, the articles by Orntoft *et al.*, Hyman *et al.*, and Pollack *et al.* (made of record in Appellants' Response filed June 28, 2004) collectively teach that in general, gene amplification increases mRNA expression. Second, the Declaration of Dr. Paul Polakis (made of record in Appellants' Response filed June 28, 2004), principal investigator of the Tumor Antigen Project of Genentech, Inc., the assignee of the present application, shows that, in general, there is a correlation between mRNA levels and polypeptide levels.

Appellants further note that the sale of gene expression chips to measure mRNA levels is a highly successful business, with a company such as Affymetrix recording 168.3 million dollars in sales of their GeneChip arrays in 2004 alone. Clearly, the research community believes that the information obtained from these chips is useful (*i.e.*, that it is more likely than not informative of the protein level).

Taken together, although there are some examples in the scientific art that do not fit within the central dogma of molecular biology that there is a correlation between DNA, mRNA, and polypeptide levels, these instances are exceptions rather than the rule. In the majority of amplified genes, as exemplified by Orntoft *et al.*, Hyman *et al.*, Pollack *et al.*, the Polakis Declaration and the widespread use of array chips, the teachings in the art overwhelmingly show

that gene amplification influences gene expression at the mRNA and protein levels. Therefore, one of skill in the art would reasonably expect in this instance, based on the amplification data for the PRO1281 gene, that the PRO1281 polypeptide is concomitantly overexpressed. Thus, the claimed antibodies to PRO1281 polypeptides also have utility in the diagnosis of cancer.

Appellants further submit that even if there were no correlation between gene amplification and increased mRNA/protein expression, (which Appellants expressly do not concede), a polypeptide encoded by a gene that is amplified in cancer would still have a specific, substantial, and credible utility. Appellants submit that, as evidenced by the Ashkenazi Declaration and the teachings of Hanna and Mornin (both made of record in Appellants' Response filed June 28, 2004), simultaneous testing of gene amplification and gene product over-expression enables more accurate tumor classification, even if the gene-product, the protein, is not over-expressed. This leads to better determination of a suitable therapy for the tumor, as demonstrated by a real-world example of the breast cancer marker HER-2/neu. Accordingly, Appellants submit that when the proper legal standard is applied, one should reach the conclusion that the present application discloses at least one patentable utility for the claimed PRO1281 polypeptides and its antibodies thereof.

Accordingly, one of ordinary skill in the art would also understand how to make and use the recited antibodies for the diagnosis of colon cancer without any undue experimentation.

**Issue 3a: Anticipation Under 35 U.S.C. §102(b) by Baker (WO99/63088 - Dated December 1999)**

For the reasons discussed under Issue 2 on utility, Appellants believe that they have priority to U.S. Provisional Patent Application Serial No. 60/141,037, filed **June 23, 1999**, to which a proper priority claim has been made and which discloses the gene amplification assay results for the PRO1281 gene. Therefore, Baker *et al.* is not prior art.

**Issue 3b: Anticipation Under 35 U.S.C. §102(a) by Tang (WO 01/53312- Dated July 2001)**

For the reasons discussed under Issue 2 on utility, Appellants believe that they have priority to U.S. Provisional Patent Application Serial No. 60/141,037, filed **June 23, 1999**, to which a proper priority claim has been made and which discloses the gene amplification assay results for the PRO1281 gene. Therefore, Tang *et al.* is not prior art.

**Issue 4: Patentability Over Weimann (Dated 2001) in View of Tang *et al.* (WO 01/53312 - Dated July 2001)**

For the reasons discussed under Issue 2 on utility, Appellants believe that they have priority to U.S. Provisional Patent Application Serial No. 60/141,037, filed **June 23, 1999**, to which a proper priority claim has been made and which discloses the gene amplification assay results for the PRO1281 gene. Therefore, neither Weimann *et al.* nor Tang *et al.* are prior art.

These arguments are all discussed in further detail below under the appropriate headings.

**Response to Rejections**

**ISSUE 1. Claims 119-121 and 123 are Supported by a Proper Priority Claim to U.S. Provisional Patent Application Serial No. 60/141,037**

The instant application has not been granted the earlier priority date on the grounds that the 60/141037 application fails to provide utility under 35 U.S.C. §101. For the detailed reasons discussed below under Issue 2, Appellants maintain that they rely on the gene amplification assay for patentable utility which was first disclosed in U.S. Provisional Patent Application Serial No. 60/141,037, filed June 23, 1999, priority to which has been claimed in this application. Hence, the present application is entitled to at least the priority date of **June 23, 1999**.

**ISSUE 2. Claims 119-121 and 123 are Supported by a Credible, Specific and Substantial Asserted Utility, and Thus Meet the Utility Requirement of 35 U.S.C. §§101/112, First Paragraph**

The sole basis for the Examiner's rejection of Claims 119-121 and 123 under this section is that the data presented in Example 170 of the present specification is allegedly insufficient under the present legal standards to establish a patentable utility under 35 U.S.C. §101 for the presently claimed subject matter.

Claims 119-121 and 123 stand further rejected under 35 U.S.C. §112, first paragraph, allegedly "since the claimed invention is not supported by either a specific and substantial asserted utility or a well established utility for the reasons set forth above, one skilled in the art clearly would not know how to use the claimed invention."

Appellants strongly disagree and respectfully traverse the rejection.

**A. The Legal Standard For Utility Under 35 U.S.C. §101**

According to 35 U.S.C. §101:

Whoever invents or discovers any new and *useful* process, machine, manufacture, or composition of matter, or any new and *useful* improvement thereof, may obtain a patent therefor, subject to the conditions and requirements of this title.  
(Emphasis added).

In interpreting the utility requirement, in *Brenner v. Manson*,<sup>1</sup> the Supreme Court held that the *quid pro quo* contemplated by the U.S. Constitution between the public interest and the interest of the inventors required that a patent Applicant disclose a "substantial utility" for his or her invention, *i.e.*, a utility "where specific benefit exists in currently available form."<sup>2</sup> The Court concluded that "a patent is not a hunting license. It is not a reward for the search, but compensation for its successful conclusion. A patent system must be related to the world of commerce rather than the realm of philosophy."<sup>3</sup>

Later, in *Nelson v. Bowler*,<sup>4</sup> the C.C.P.A. acknowledged that tests evidencing pharmacological activity of a compound may establish practical utility, even though they may not establish a specific therapeutic use. The Court held that "since it is crucial to provide researchers with an incentive to disclose pharmaceutical activities in as many compounds as possible, we conclude adequate proof of any such activity constitutes a showing of practical utility."<sup>5</sup>

In *Cross v. Iizuka*,<sup>6</sup> the C.A.F.C. reaffirmed *Nelson*, and added that *in vitro* results might be sufficient to support practical utility, explaining that "*in vitro* testing, in general, is relatively

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<sup>1</sup> *Brenner v. Manson*, 383 U.S. 519, 148 U.S.P.Q. (BNA) 689 (1966).

<sup>2</sup> *Id.* at 534, 148 U.S.P.Q. (BNA) at 695.

<sup>3</sup> *Id.* at 536, 148 U.S.P.Q. (BNA) at 696.

<sup>4</sup> *Nelson v. Bowler*, 626 F.2d 853, 206 U.S.P.Q. (BNA) 881 (C.C.P.A. 1980).

<sup>5</sup> *Id.* at 856, 206 U.S.P.Q. (BNA) at 883.

<sup>6</sup> *Cross v. Iizuka*, 753 F.2d 1047, 224 U.S.P.Q. (BNA) 739 (Fed. Cir. 1985).

less complex, less time consuming, and less expensive than *in vivo* testing. Moreover, *in vitro* results with the particular pharmacological activity are generally predictive of *in vivo* test results, *i.e.*, there is a reasonable correlation there between.<sup>7</sup> The Court perceived, "No insurmountable difficulty" in finding that, under appropriate circumstances, "*in vitro* testing, may establish a practical utility."<sup>8</sup>

The case law has also clearly established that Appellants' statements of utility are usually sufficient, unless such statement of utility is unbelievable on its face.<sup>9</sup> The PTO has the initial burden to prove that Appellants' claims of usefulness are not believable on their face.<sup>10</sup> In general, an Applicant's assertion of utility creates a presumption of utility that will be sufficient to satisfy the utility requirement of 35 U.S.C. §101, "unless there is a reason for one skilled in the art to question the objective truth of the statement of utility or its scope."<sup>11, 12</sup>

Compliance with 35 U.S.C. §101 is a question of fact.<sup>13</sup> The evidentiary standard to be used throughout *ex parte* examination in setting forth a rejection is a preponderance of the totality of the evidence under consideration.<sup>14</sup> Thus, to overcome the presumption of truth that an assertion of utility by the Applicant enjoys, the Examiner must establish that it is more likely

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<sup>7</sup> *Id.* at 1050, 224 U.S.P.Q. (BNA) at 747.

<sup>8</sup> *Id.*

<sup>9</sup> *In re Gazave*, 379 F.2d 973, 154 U.S.P.Q. (BNA) 92 (C.C.P.A. 1967).

<sup>10</sup> *Ibid.*

<sup>11</sup> *In re Langer*, 503 F.2d 1380, 1391, 183 U.S.P.Q. (BNA) 288, 297 (C.C.P.A. 1974).

<sup>12</sup> See also *In re Jolles*, 628 F.2d 1322, 206 USPQ 885 (C.C.P.A. 1980); *In re Irons*, 340 F.2d 974, 144 USPQ 351 (1965); *In re Sichert*, 566 F.2d 1154, 1159, 196 USPQ 209, 212-13 (C.C.P.A. 1977).

<sup>13</sup> *Raytheon v. Roper*, 724 F.2d 951, 956, 220 U.S.P.Q. (BNA) 592, 596 (Fed. Cir. 1983) *cert. denied*, 469 US 835 (1984).

<sup>14</sup> *In re Oetiker*, 977 F.2d 1443, 1445, 24 U.S.P.Q.2d (BNA) 1443, 1444 (Fed. Cir. 1992).

than not that one of ordinary skill in the art would doubt the truth of the statement of utility. Only after the Examiner made a proper *prima facie* showing of lack of utility, does the burden of rebuttal shift to the Applicant. The issue will then be decided on the totality of evidence.

The well established case law is clearly reflected in the Utility Examination Guidelines (“Utility Guidelines”),<sup>15</sup> which acknowledge that an invention complies with the utility requirement of 35 U.S.C. §101, if it has at least one asserted “specific, substantial, and credible utility” or a “well-established utility.” Under the Utility Guidelines, a utility is “specific” when it is particular to the subject matter claimed. For example, it is generally not enough to state that a nucleic acid is useful as a diagnostic without also identifying the conditions that are to be diagnosed.

In explaining the “substantial utility” standard, M.P.E.P. §2107.01 cautions, however, that Office personnel must be careful not to interpret the phrase “immediate benefit to the public” or similar formulations used in certain court decisions to mean that products or services based on the claimed invention must be “currently available” to the public in order to satisfy the utility requirement. “Rather, any reasonable use that an applicant has identified for the invention that can be viewed as providing a public benefit should be accepted as sufficient, at least with regard to defining a ‘substantial’ utility.”<sup>16</sup> Indeed, the Guidelines for Examination of Applications for Compliance With the Utility Requirement,<sup>17</sup> gives the following instruction to patent examiners: “If the Applicant has asserted that the claimed invention is useful for any particular practical purpose . . . and the assertion would be considered credible by a person of ordinary skill in the art, do not impose a rejection based on lack of utility.”

## B. Proper Application of the Legal Standard

Appellants respectfully submit that the data presented in Example 170 starting on page 539 of the specification of the specification and the cumulative evidence of record, which

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<sup>15</sup> 66 Fed. Reg. 1092 (2001).

<sup>16</sup> M.P.E.P. §2107.01.

<sup>17</sup> M.P.E.P. §2107 II(B)(1).

underlies the current dispute, indeed support a "specific, substantial and credible" asserted utility for the presently claimed invention.

Patentable utility for the PRO1281 polypeptides is based upon the gene amplification data for the gene encoding the PRO1281 polypeptide. Example 170 describes the results obtained using a very well-known and routinely employed polymerase chain reaction (PCR)-based assay, the TaqMan™ PCR assay, also referred to herein as the gene amplification assay. This assay allows one to quantitatively measure the level of gene amplification in a given sample, say, a tumor extract, or a cell line. It was well known in the art at the time the invention was made that gene amplification is an essential mechanism for oncogene activation. Appellants isolated genomic DNA from a variety of primary cancers and cancer cell lines that are listed in Table 9 (pages 539 onwards of the specification), including primary colon cancers of the type and stage indicated in Table 8 (page 546). The tumor samples were tested in triplicates with Taqman™ primers and with internal controls, beta-actin and GADPH in order to quantitatively compare DNA levels between samples (page 548, lines 33-34). As a negative control, DNA was isolated from the cells of ten normal healthy individuals, which was pooled and used as a control (page 539, lines 27-29) and also, no-template controls (page 548, lines 33-34). The results of TaqMan™ PCR are reported in  $\Delta Ct$  units, as explained in the passage on page 539, lines 37-39. One unit corresponds to one PCR cycle or approximately a 2-fold amplification, relative to control, two units correspond to 4-fold, 3 units to 8-fold amplification and so on. Using this PCR-based assay, Appellants showed that the gene encoding for PRO1281 was amplified, that is, it showed approximately 1.07-1.15  $\Delta Ct$  units which corresponds to 2<sup>1.07</sup> - 2<sup>1.15</sup>- fold amplification or **2.099 fold to 2.219-fold** in different colon primary tumors.

However, the Examiner states regarding the teachings of the Goddard Declaration that "the argument has been fully considered but is not deemed persuasive. Even though in some circumstances and as discussed in the Goddard Declaration, TaqMan™ real-time PCR can accurately and reproducibly assess gene amplification, in cancerous tissues it is necessary to account for the possibility of aneuploidy." (Page 3, third paragraph of the Final Office Action). The Examiner further refers to Sen *et al.* (Page 3 of the Final Office Action) to show that "numeric aberrations in chromosomes, referred to as aneuploidy, is commonly observed in human cancers. Therefore, because the gene amplification observed for PRO1281 is small and

could reasonably be expected to be due to aneuploidy, the implicit utility of a colon tumor diagnostic is not specific and substantial.”

Appellants respectfully traverse and point out that the Declaration by Dr. Audrey Goddard, presented in their response mailed July 22, 2005, provides a statement by an expert in the relevant art that “fold amplification” values of at least 2-fold are considered significant in the TaqMan™ PCR gene amplification assay. Appellants particularly draw the Board's attention to page 3 of the Goddard Declaration which clearly states that:

It is further my considered scientific opinion that an at least **2-fold increase** in gene copy number in a tumor tissue sample relative to a normal (*i.e.*, non-tumor) sample is significant and useful in that the detected increase in gene copy number in the tumor sample relative to the normal sample serves as a basis for using relative gene copy number as quantitated by the TaqMan PCR technique as a diagnostic marker for the presence or absence of tumor in a tissue sample of unknown pathology. Accordingly, a gene identified as being amplified at least 2-fold by the quantitative TaqMan PCR assay in a tumor sample relative to a normal sample is **useful as a marker for the diagnosis of cancer**, for monitoring cancer development and/or for measuring the efficacy of cancer therapy.  
(Emphasis added).

Accordingly, the **2.099 fold to 2.219-fold** in different colon primary tumors would be considered significant and credible by one skilled in the art, based upon the facts disclosed in the Goddard Declaration.

Regarding aneuploidy and reference by Sen, Appellants agree with the teachings of Sen. In fact, Sen *et al.* support the Appellants' position since the Examiner himself indicates that “aneuploidy is commonly observed in human cancers.” That is, even if the observed increase in gene amplification were due to aneuploidy (which Appellants' do not concede to), PRO1281 is still useful to diagnose the propensity for cancer or colon cancer itself. For instance, many articles published around June 23, 1999 (the effective filing date of this application) in colon cancer studied damaged or premalignant lesions in colon cancer and suggested that epithelial tumors develop through a multistep process driven by genetic instability and that a subset of the same molecular changes found in associated tumors were also found in premalignant lesions, suggesting that these premalignant lesions might represent precursor lesions for associated tumors, *i.e.*, a manifestation of a multistep tumorigenesis process. Based on the well-known art, Appellants submit that there is utility in identifying genetic biomarkers in epithelial tissues at

cancer risk. For instance, any skilled artisan in the field of colon oncology would easily appreciate that early detection of preinvasive colon cancer and a greater understanding of premalignant colon conditions provided information in advance about risk assessment, prognosis and therapy for colon cancer.

Further, any skilled artisan in the field of oncology would also appreciate that, not all tumor markers are generally associated with every tumor, or even, with most tumors. In fact, some tumor markers are useful for identifying rare malignancies. That is, the association of the tumor marker with a particular type of tumor lesion may be rare, or, the occurrence of that particular kind of tumor lesion itself may be rare. In either event, even these rare tumor markers, which may not give a positive hit with most common tumors, have great value in tumor diagnosis, and consequently, in tumor prognosis. The skilled artisan would know that such tumor markers are very useful for better classification of tumors. Therefore, whether the PRO1281 gene is amplified in colon in most tumors is not relevant to its identification as a tumor marker, or its patentable utility. Rather, whether the amplification data for PRO1281 is significant is what lends support to its usefulness as a tumor marker. There the rejection indicating that the asserted utility is “not specific or substantial because the gene amplification observed is small” is not legally correct. It was well known in the art at the time of filing of the application that gene amplification, which occurs in most solid tumors like colon cancers, is generally associated with poor prognosis. Therefore, the PRO1281 gene becomes an important diagnostic marker for identifying malignant colon cancers, even if the malignancy associated with PRO1281 molecule is a rare occurrence. Accordingly, the present specification clearly discloses sufficient evidence that the gene encoding the PRO1281 polypeptide is significantly amplified in certain types of colon tumors and is therefore, antibodies to PRO1281 are valuable diagnostic markers for identifying certain types of colon cancers.

Taken together, even if the observed PRO1281 gene amplification were due to chromosomal aneuploidy (which Appellants do not concede), such an observation would still support at least one utility for the PRO1281 gene and therefore antibodies to PRO1281 because it helps in identifying individuals at significantly increased cancer risk. Accordingly, the instant polypeptides, and their antibodies find utility as a diagnostic for colon cancer or for individuals at risk of developing colon cancer.

C. **A *prima facie* case of lack of utility has not been established**

As discussed above, the increase in DNA copy number for the PRO1281 gene is significant. Further, the evidentiary standard to be used throughout *ex parte* examination of a patent application is a preponderance of the totality of the evidence under consideration. Thus, to overcome the presumption of truth that an assertion of utility by the applicant enjoys, the Examiner must establish that it is more likely than not that one of ordinary skill in the art would doubt the truth of the statement of utility. Only after the Examiner has made a proper *prima facie* showing of lack of utility, does the burden of rebuttal shift to the Applicant.

Accordingly, it is not a legal requirement to establish a necessary correlation between an increase in the copy number of the DNA and protein expression levels that would correlate to the disease state or that it is imperative to find evidence that DNA amplification is "necessarily" or "always" associated with overexpression of the gene product. Appellants respectfully submit that when the proper evidentiary standard is applied, a correlation must be acknowledged. Appellants submit that, the teachings of Pennica *et al.* and Konopka *et al.* are not directed towards genes in general but to a single gene or genes within a single family and thus, their teachings cannot support a general conclusion regarding correlation between gene amplification and mRNA or protein levels. For instance, the teachings of Pennica *et al.* are specific to *WISP* genes, a specific class of closely related molecules. Pennica *et al.* showed that there was good correlation between DNA and mRNA expression levels for the *WISP-1* gene but not for *WISP-2* and *WISP-3* genes. But, the fact that in the case of closely related molecules, there seemed to be no correlation between gene amplification and the level of mRNA/protein expression does not establish that it is more likely than not, in general, that such correlation does not exist. As discussed above, the standard is not absolute certainty. Pennica *et al.* has no teaching whatsoever about the correlation of gene amplification and protein expression for genes in general. Similarly, in Konopka *et al.*, Appellants submit that the Examiner has generalized a very specific result disclosed by Konopka *et al.* to cover all genes. Konopka *et al.* actually state that "[p]rotein expression is not related to amplification of the *abl* gene but to variation in the level of *bcr-abl* mRNA produced from a single Ph<sup>1</sup> template." (See Konopka *et al.*, Abstract, emphasis added). The paper does not teach anything whatsoever about the correlation of protein expression and gene amplification in general, and provides no basis for the generalization that

apparently underlies the present rejection. The statement of Konopka *et al.* that “[p]rotein expression is not related to amplification of the *abl* gene . . .” is not sufficient to establish a *prima facie* case of lack of utility. Therefore, the combined teachings of Pennica *et al.* and Konopka *et al.* are not directed towards genes in general but to a single gene or genes within a single family and thus, their teachings cannot support a general conclusion regarding correlation between gene amplification and mRNA or protein levels.

Actually, the cited reference Haynes *et al.*, showed that “there was a general trend,” although no strong correlation between protein [expression] and transcript levels.” (see Figure 1 and page 1863, paragraph 2.1, last line). Therefore, when the proper legal standard is used, Haynes clearly supports the Appellants' position that in general, a positive correlation exists between mRNA and protein. This is all that's needed to meet the “more likely than not” evidentiary standard. Again, accurate prediction is not the standard. Therefore, a *prima facie* case of lack of utility has not been met based on the cited references Pennica *et al.*, Konopka *et al.* and Haynes *et al.*

The Examiner further cited Hu *et al.* , to show that “ the literature cautions researchers against drawing conclusions based on small changes in transcript expression levels between normal and cancerous tissues” (Page 6 of the Final Office Action mailed August 11, 2005).

First of all, as discussed above, the increase in DNA copy number for the PRO1281 gene is significant. Further, Appellants respectfully submit that, contrary to the Examiner's assertion, the cited Hu *et al.* reference does not conclusively establish a *prima facie* case for lack of utility for the PRO1281 molecule. The Hu *et al.* reference is entitled “Analysis of Genomic and Proteomic Data using Advanced Literature Mining” (emphasis added). Therefore, as the title itself suggests, the conclusions in this reference are based upon statistical analysis of information obtained from published literature, and not from experimental data. Hu *et al.* performed statistical analysis to provide evidence for a relationship between mRNA expression and biological function of a given molecule (as in disease). The conclusions of Hu *et al.* however, only apply to a specific type of breast tumor (estrogen receptor (ER)-positive breast tumor) and cannot be generalized to breast cancer genes in general, let alone to cancer genes in general. Interestingly, the observed correlation was only found among ER-positive (breast) tumors not ER-negative tumors.” (See page 412, left column).

Moreover, the analytical methods utilized by Hu *et al.* have certain statistical drawbacks, as the authors themselves admit. For instance, according to Hu *et al.*, “*different statistical methods*” were applied to “*estimate* the strength of gene-disease relationships and evaluated the results.” (See page 406, left column, emphasis added). Using these different statistical methods, Hu *et al.* “[a]ssessed the relative strengths of gene-disease relationships based on the frequency of both co-citation and single citation.” (See page 411, left column). As is well known in the art, different statistical methods allow different variables to be manipulated to affect the resulting outcome. In this regard, the authors disclose that, “Initial attempts to search the literature” using the list of genes, gene names, gene symbols, and frequently used synonyms generated by the authors “revealed several sources of false positives and false negatives.” (See page 406, right column). The authors add that the false positives caused by “*duplicative and unrelated meanings for the term*” were “*difficult to manage*.” Therefore, in order to minimize such false positives, Hu *et al.* disclose that these terms “had to be eliminated entirely, thereby reducing the false positive rate but unavoidably under-representing some genes.” *Id.* (emphasis added). Hence, Hu *et al.* had to manipulate certain aspects of the input data, in order to generate, in their opinion, meaningful results. Further, because the frequency of citation for a given molecule and its relationship to disease only reflects the current research interest of a molecule, and not the true biological function of the molecule, as the authors themselves acknowledge, the “[r]elationship established by frequency of co-citation do not necessarily represent a true biological link.” (See page 411, right column). Therefore, based on these findings, the authors add, “[t]his may reflect a bias in the literature to study the more prevalent type of tumor in the population. Furthermore, this emphasizes that caution must be taken when interpreting experiments that may contain subpopulations that behave very differently.” *Id.* (Emphasis added). In other words, some molecules may have been underrepresented merely because they were less frequently cited or studied in literature compared to other more well-cited or studied genes. Therefore, Hu *et al.*’s conclusions are not based on genes/mRNA *in general*.

Therefore, Appellants submit that, based on the nature of the statistical analysis performed herein, and in particular, based on Hu’s analysis of *one* class of genes, namely, the estrogen receptor (ER)-positive breast tumor genes, the conclusions drawn by the Examiner, namely that, “genes displaying a 5-fold change or less (mRNA expression) in tumors compared

to normal showed no evidence of a correlation between altered gene expression and a known role in the disease (in general)" is not reliably supported.

Therefore, when the proper legal standard is used, a *prima facie* case of lack of utility has not been met based on the cited reference Hu *et al.* either.

On the contrary, Appellants submit that Example 170 in the specification further discloses that, "(a)mplification is associated with overexpression of the gene product, indicating that the polypeptides are useful targets for therapeutic intervention in certain cancers such as colon, lung, breast and other cancers and diagnostic determination of the presence of those cancers" (emphasis added). Besides, Appellants have submitted ample evidence (discussed below) to show that, in general, if a gene is amplified in cancer, it is "more likely than not" likely that the encoded protein will also be expressed at an elevated level.

For support, Appellants presented the articles by Orntoft *et al.*, Hyman *et al.*, and Pollack *et al.* (made of record in Appellants' Response filed June 28, 2004), who collectively teach that in general, for most genes, DNA amplification increases mRNA expression. The results presented by Orntoft *et al.*, Hyman *et al.*, and Pollack *et al.* are based upon wide ranging analyses of a large number of tumor associated genes. Orntoft *et al.* studied transcript levels of 5600 genes in malignant bladder cancers, many of which were linked to the gain or loss of chromosomal material, and found that in general (18 of 23 cases) chromosomal areas with more than 2-fold gain of DNA showed a corresponding increase in mRNA transcripts. Hyman *et al.* compared DNA copy numbers and mRNA expression of over 12,000 genes in breast cancer tumors and cell lines, and found that there was evidence of a prominent global influence of copy number changes on gene expression levels. In Pollack *et al.*, the authors profiled DNA copy number alteration across 6,691 mapped human genes in 44 predominantly advanced primary breast tumors and 10 breast cancer cell lines, and found that on average, a 2-fold change in DNA copy number was associated with a corresponding 1.5-fold change in mRNA levels. In summary, the evidence supports the Appellants' position that gene amplification is more likely than not predictive of increased mRNA and polypeptide levels.

Second, the Declaration of Dr. Paul Polakis (made of record in Appellants' Response filed June 4, 2004), principal investigator of the Tumor Antigen Project of Genentech, Inc., the assignee of the present application, explains that in the course of Dr. Polakis' research using

microarray analysis, he and his co-workers identified approximately 200 gene transcripts that are present in human tumor cells at significantly higher levels than in corresponding normal human cells. Appellants submit that Dr. Polakis' Declaration was presented to support the position that there is a correlation between mRNA levels and polypeptide levels, the correlation between gene amplification and mRNA levels having already been established by the data shown in the Orntoft *et al.*, Hyman *et al.*, and Pollack *et al.* articles. Appellants further emphasize that the opinions expressed in the Polakis Declaration, including in the above quoted statement, are all based on factual findings. For instance, antibodies binding to about 30 of these tumor antigens were prepared, and mRNA and protein levels were compared. In approximately 80% of the cases, the researchers found that increases in the level of a particular mRNA correlated with changes in the level of protein expressed from that mRNA when human tumor cells are compared with their corresponding normal cells. Therefore, Dr. Polakis' research, which is referenced in his Declaration, shows that, in general, there is a correlation between increased mRNA and polypeptide levels.

Appellants further note that the sale of gene expression chips to measure mRNA levels is a highly successful business, with a company such as Affymetrix recording 168.3 million dollars in sales of their GeneChip® arrays in 2004. Clearly, the research community believe that the information obtained from these chips is useful (*i.e.*, that it is more likely than not that the results are informative of protein levels).

Taken together, all of the submitted evidence supports the Appellants' position that, in the majority of amplified genes, increased gene amplification levels, more likely than not, predict increased mRNA and polypeptide levels, which clearly meets the utility standards described above. Hence, one of skill in the art would reasonably expect that, based on the gene amplification data of the PRO1281 gene, the PRO1281 polypeptide is concomitantly overexpressed in the colon tumors studied as well and hence PRO1281 antibodies would be useful in the diagnosis of cancer.

Appellants further submit that even if there were no correlation between gene amplification and increased mRNA/protein expression, (which Appellants expressly do not concede), a polypeptide encoded by an amplified gene in cancer would still have a specific,

substantial, and credible utility, as was discussed in the Declaration of Dr. Avi Ashkenazi (submitted with Appellants' Response filed June 4, 2004).

According to the Declaration, even if over-expression of the gene product does not parallel gene amplification in certain tumor types, parallel monitoring of gene amplification and gene product over-expression enables more accurate tumor classification and hence better determination of suitable therapy. In addition, absence of over-expression is crucial information for the practicing clinician. If a gene is amplified in a tumor, but the corresponding gene product is not over-expressed, the clinician will decide not to treat a patient with agents that target that gene product. This not only saves money, but also has the benefit that the patient can avoid exposure to the side effects associated with such agents.

This utility is further supported by the teachings of the article by Hanna and Mornin. (Pathology Associates Medical Laboratories, August (1999), submitted with the Response filed June 4, 2004). The article teaches that the HER-2/neu gene has been shown to be amplified and/or over-expressed in 10%-30% of invasive breast cancers and in 40%-60% of intraductal breast carcinomas. Further, the article teaches that diagnosis of breast cancer includes testing both the amplification of the HER-2/neu gene (by FISH) as well as the over-expression of the HER-2/neu gene product (by IHC). Even when the protein is not over-expressed, the assay relying on both tests leads to a more accurate classification of the cancer and a more effective treatment of it.

However, the Examiner asserts regarding Hanna and Mornin that,

"Hanna *et al.* go on to state that FISH (gene) and IHC (protein) results correlate well. However, subsets of tumors are found which show discordant results; *i.e.*, protein overexpression without gene amplification or lack of protein overexpression with gene amplification. The clinical significance of such results is unclear. Therefore, the issues of HER-2 cannot be generalized to any gene expressed in a tumor," (last four lines of Page 4 of the Final Office Action mailed August 11, 2005).

Again, Appellants respectfully submit, and as the Examiner himself acknowledges, the gene amplification (as measured by FISH) and polypeptide expression (as measured by immunohistochemistry, IHC) are well correlated ("in general, FISH and IHC results correlate well" (Hanna *et al.* p. 1, col. 2)). It is only a subset of tumors which show discordant results. The Examiner appears to view such results as "unclear. On the other hand, Appellants' submit

that Hanna *et al.* in fact support the Appellants' position rather well in that it is more likely than not that gene amplification correlates with increased polypeptide expression, and this conclusion is not drawn based on the Her-2 results of Hanna and Mornin alone, but on the overwhelming evidence presented in the Orntoft *et al.*, Hyman *et al.*, and Pollack *et al.* references and the Polakis Declaration (made of record in Appellants' Response filed June 4, 2004).

Thus, based on the asserted utility for PRO1281 in the diagnosis of selected colon tumors, the reduction to practice of the instantly claimed protein sequence of SEQ ID NO: 326 in the present application, the disclosure of the step-by-step protocols for making PRO polypeptides, the disclosure of a step-by-step protocol for making and expressing PRO1281 in appropriate host cells (in Examples 140-143 and page 376, line 12), the step-by-step protocol for the preparation, isolation and detection of monoclonal, polyclonal and other types of antibodies against the PRO1281 protein in the specification (at pages 390-395) and the disclosure of the gene amplification assay in Example 170, the skilled artisan would know exactly how to make and use the claimed polypeptide for the diagnosis of colon cancers and use antibodies to the polypeptides for the diagnosis of colon cancer. Appellants submit that based on the detailed information presented in the specification and the advanced state of the art in oncology, the skilled artisan would have found such testing routine and not 'undue.' Thus, barring evidence to the contrary, Appellants maintain that the fold amplification disclosed for the PRO1281 gene is significant and forms the basis for the utility for the claimed antibodies to the PRO1281 polypeptide.

Therefore, since the instantly claimed invention is supported by either a credible, specific and substantial asserted utility or a well-established utility, and since the present specification clearly teaches one skilled in the art "how to make and use" the claimed invention without undue experimentation, Appellants respectfully request reconsideration and reversal of this outstanding rejections under 35 U.S.C. §101 and §112, First Paragraph to Claims 119-121 and 123.

**Issue 3a: Claim 119-121 and 123 are not Anticipated Under 35 U.S.C. §102 (a) Over Baker (WO99/63088 - dated December 1999)**

Claims 119-121 and 123 remain rejected under 35 U.S.C. §102 (a) as being anticipated by the claims of Baker (WO99/63088 - dated December 1999).

For the reasons discussed above, Appellants maintain that they are entitled to a priority date of **June 23, 1999** for the instant application. The Examiner says that the priority application lacks utility and hence this priority date cannot be given. For the very same reasons discussed above under Issue 1: Utility/ Enablement, Appellants submit that the disclosure of the priority application, U.S. Provisional Patent Application Serial No. 60/141,037 filed **June 23, 1999** has utility and is enabled. Therefore, the priority date should be accorded and hence, application WO99/63088 is not prior art. Hence, Appellants request withdrawal of this rejection.

**Issue 3b: Claim 119-121 and 123 are not Anticipated Under 35 U.S.C. §102(a) Over by Tang (WO 01/53312 - Dated July 2001)**

Claims 119-121 and 123 remain rejected under 35 U.S.C. §102 (a) as being anticipated by the claims of Tang (WO 01/53312 - dated July 2001).

For the reasons discussed above, Appellants maintain and believe that they are entitled to the effective priority date of **June 23, 1999** of U.S. Provisional Patent Application Serial No. 60/141,037. Thus, the reference Tang *et al.* dated 2001 is not prior art under 35 U.S.C. §102(a). Therefore, the present claims are not anticipated by Tang *et al.*, and hence, this rejection under 35 U.S.C. §102(a) should be withdrawn.

**Issue 4: Claims 119-121 and 123 are Patentable Under 35 U.S.C. §103(a) Over Weimann (2001) in View of Tang *et al.* (WO 01/53312 - Dated July 2001)**

Claims 119-121 and 123 remain rejected under 35 U.S.C. §103(a) over Weimann (2001) in view of Tang *et al.* (WO 01/53312 - dated July 2001)

For the reasons discussed above, Appellants maintain and believe that they are entitled to the effective priority date of **June 23, 1999** of U.S. Provisional Patent Application Serial No. 60/141,037. Thus, the primary reference Weimann dated 2001 is not prior art and neither is the Tang reference. Therefore, present claims are not obvious over Weimann in view of Tang and hence, this rejection under 35 U.S.C. §103(a) should be withdrawn.

**CONCLUSION**

For the reasons given above, Appellants submit that present specification clearly describes, details and provides a patentable utility for the claimed invention. Moreover, it is

respectfully submitted that based upon this disclosed patentable utility, the present specification clearly teaches "how to use" the presently claimed polypeptide. As such, Appellants respectfully request reconsideration and reversal of the outstanding rejection of Claims 119-121 and 123.

Respectfully submitted,

Date: January 26, 2006

By: Daphne Reddy  
Daphne Reddy (Reg. No. 53,507)

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275 Middlefield Road  
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## **IX. CLAIMS APPENDIX**

### **Claims on Appeal**

119. An antibody, or fragment thereof, that specifically binds to the polypeptide of SEQ ID NO: 326.
120. The antibody of Claim 119 which is a monoclonal antibody.
121. The antibody of Claim 119 which is a humanized antibody.
123. The antibody of Claim 119 which is labeled.

**X. EVIDENCE APPENDIX**

1. Declaration of Paul Polakis, Ph.D. under 35 C.F.R. §1.132.
2. Declaration of Avi Ashkenazi, Ph.D. under 35 C.F.R. §1.132, with attached Exhibit A (Curriculum Vitae).
3. Declaration of Audrey Goddard, Ph.D. under 35 C.F.R. 1.132, with attached Exhibits A-G:
  - A. Curriculum Vitae of Audrey D. Goddard, Ph.D.
  - B. Higuchi, R. et al., "Simultaneous amplification and detection of specific DNA sequences," *Biotechnology* **10**:413-417 (1992).
  - C. Livak, K.J., et al., "Oligonucleotides with fluorescent dyes at opposite ends provide a quenched probe system useful for detecting PCR product and nucleic acid hybridization," *PCR Methods Appl.* **4**:357-362 (1995).
  - D. Heid, C.A. et al., "Real time quantitative PCR," *Genome Res.* **6**:986-994 (1996).
  - E. Pennica, D. et al., "WISP genes are members of the connective tissue growth factor family that are up-regulated in Wnt-1-transformed cells and aberrantly expressed in human colon tumors," *Proc. Natl. Acad. Sci. USA* **95**:14717-14722 (1998).
  - F. Pitti, R.M. et al., "Genomic amplification of a decoy receptor for Fas ligand in lung and colon cancer," *Nature* **396**:699-703 (1998).
  - G. Bieche, I. et al., "Novel approach to quantitative polymerase chain reaction using real-time detection: Application to the detection of gene amplification in breast cancer," *Int. J. Cancer* **78**:661-666 (1998).
4. Orntoft, T.F., et al., "Genome-wide Study of Gene Copy Numbers, Transcripts, and Protein Levels in Pairs of Non-Invasive and Invasive Human Transitional Cell Carcinomas," *Molecular & Cellular Proteomics* **1**:37-45 (2002).
5. Hyman, E., et al., "Impact of DNA Amplification on Gene Expression Patterns in Breast Cancer," *Cancer Research* **62**:6240-6245 (2002).
6. Pollack, J.R., et al., "Microarray Analysis Reveals a Major Direct Role of DNA Copy Number Alteration in the Transcriptional Program of Human Breast Tumors," *Proc. Natl. Acad. Sci. USA* **99**:12963-12968 (2002).
7. Hanna et al., "HER-2/neu Breast Cancer Predictive Testing," *Pathology Associates Medical Laboratories* (1999).

8. Pennica *et al.*, "WISP genes are members of the connective tissue growth factor family that are up-regulated in Wnt-1-transformed cells and aberrantly expressed in human colon tumors," *Proc. Natl. Acad. Sci. USA* **95**:14717-14722 (1998).

9. Konopka *et al.*, "Variable expression of the translocated c-abl oncogene in Philadelphia-chromosome-positive B-lymphoid cell lines from chronic myelogenous leukemia patients," *Proc Natl Acad Sci U S A.* **83**:4049-52 (1986).

10. Haynes *et al.*, "Proteome analysis: Biological assay or data archive?" *Electrophoresis* **19**:1862-1871 (1996).

11. Baker *et al.*, (WO99/63088 - dated December 1999).

12. Tang *et al.*, (WO01/53312 - dated July 2001).

13. Weimann *et al.*, (2001).

14. Sen S., "Aneuploidy and Cancer", *Current Opinion in Oncology*, **12**: 82-88, (2000).

15. Pages 303-306 of specification which were missing in specification. Requested by Examiner on Page 6 of the Final Office Action mailed August 11, 2005.

Items 1, 2 and 4-7 were submitted with Appellants' Response filed June 4, 2004, and were considered by the Examiner as indicated in the Final Office action mailed June 28, 2004.

Item 3 was submitted with Appellants' Response filed July 22, 2005, and was considered by the Examiner as indicated in the Final Office action mailed August 11, 2005.

Items 8-10 were made of record by the Examiner in the Final Office Action mailed June 28, 2004.

Items 11-13 were made of record by the Examiner in the Office Action mailed March 9, 2004.

Item 14 was made of record by the Examiner in the Final Office Action mailed August 11, 2005.

Item 15 was requested by the Examiner in the Final Office Action mailed August 11, 2005.

**XI. RELATED PROCEEDINGS APPENDIX**

None.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**O I P E**  
JAN 26 2006  
U.S. TRADEMARK OFFICE

# FEE TRANSMITTAL for FY 2006

Effective 10/01/2003. Patent fees are subject to annual revision.

 Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$ 720.00)

**Complete if Known**

Application Number	09/997,542
Filing Date	NOVEMBER 15, 2001
First Named Inventor	DAVID BOTSTEIN
Examiner Name	LANDSMAN, ROBERT S.
Art Unit	1647
Attorney Docket No.	39780-2730 P1C26

**METHOD OF PAYMENT (check all that apply)**
 Check  Credit card  Money Order  Other  None
 Deposit Account:

Deposit Account Number **08-1641**  
 Deposit Account Name **HELLER EHRMAN LLP (39780-2730 P1C26)**

The Director is authorized to: (check all that apply)

Charge fee(s) indicated below  Credit any overpayments  
 Charge any additional fee(s) or any underpayment of fee(s)  
 Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity	Small Entity	Fee Description	Fee Paid
Fee Code (\$)	Fee Code (\$)		
1001 300	2001 150	Utility filing fee	
1002 200	2002 100	Design filing fee	
1003 200	2003 100	Plant filing fee	
1004 300	2004 150	Reissue filing fee	
1005 200	2005 100	Provisional filing fee	
<b>SUBTOTAL (1) (\$)</b>			

**2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE**

Total Claims	Independent Claims	Multiple Dependent	Extra Claims	Fee from below	Fee Paid
			-20** =	X	=
			- 3** =	X	=

Large Entity	Small Entity	Fee Description
Fee Code (\$)	Fee Code (\$)	
1202 50	2202 25	Claims in excess of 20
1201 200	2201 100	Independent claims in excess of 3
1203 360	2203 180	Multiple dependent claim, if not paid
1204 200	2204 100	** Reissue independent claims over original patent
1205 50	2205 25	** Reissue claims in excess of 20 and over original patent
<b>SUBTOTAL (2) (\$)</b>		

\*\*or number previously paid, if greater; For Reissues, see above

**3. ADDITIONAL FEES**

Large Entity	Small Entity
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Fee Code (\$)	Fee Code (\$)	Fee Description	Fee Paid
1051 130	2051 65	Surcharge - late filing fee or oath	
1052 50	2052 25	Surcharge - late provisional filing fee or cover sheet	
1053 130	1053 130	Non-English specification	
1812 2,520	1812 2,520	For filing a request for ex parte reexamination	
1804 920*	1804 920*	Requesting publication of SIR prior to Examiner action	
1805 1,840*	1805 1,840*	Requesting publication of SIR after Examiner action	
1251 120	2251 60	Extension for reply within first month	120.00
1252 450	2252 225	Extension for reply within second month	
1253 1,020	2253 510	Extension for reply within third month	
1254 1,590	2254 795	Extension for reply within fourth month	
1255 2,160	2255 1,080	Extension for reply within fifth month	
1401 500	2401 250	Notice of Appeal	500.00
1402 500	2402 250	Filing a brief in support of an appeal	
1403 1,000	2403 500	Request for oral hearing	
1451 1,510	1451 1,510	Petition to institute a public use proceeding	
1452 500	2452 250	Petition to revive - unavoidable	
1453 1,500	2453 750	Petition to revive - unintentional	
1501 1,400	2501 700	Utility issue fee (or reissue)	
1502 800	2502 400	Design issue fee	
1503 1,100	2503 550	Plant issue fee	
1460 130	1460 130	Petitions to the Commissioner	
1807 50	1807 50	Processing fee under 37 CFR 1.17(q)	
1806 180	1806 180	Submission of Information Disclosure Stmt	
8021 40	8021 40	Recording each patent assignment per property (times number of properties)	
1809 790	2809 395	Filing a submission after final rejection (37 CFR 1.129(a))	
1810 790	2810 395	For each additional invention to be examined (37 CFR 1.129(b))	
1801 790	2801 395	Request for Continued Examination (RCE)	
1802 900	1802 900	Request for expedited examination of a design application	
Other fee (specify) _____			

\*Reduced by Basic Filing Fee Paid

**SUBTOTAL (3) (\$)**

720.00

(Complete if applicable)

SUBMITTED BY			
Name (Print/Type)	DAPHNE REDDY	Registration No. (Attorney/Agent)	53,507
Signature	Daphne Reddy	Telephone	(650) 324-7000

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

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DECLARATION OF PAUL POLAKIS, Ph.D.

I, Paul Polakis, Ph.D., declare and say as follows:

1. I was awarded a Ph.D. by the Department of Biochemistry of the Michigan State University in 1984. My scientific Curriculum Vitae is attached to and forms part of this Declaration (Exhibit A).
2. I am currently employed by Genentech, Inc. where my job title is Staff Scientist. Since joining Genentech in 1999, one of my primary responsibilities has been leading Genentech's Tumor Antigen Project, which is a large research project with a primary focus on identifying tumor cell markers that find use as targets for both the diagnosis and treatment of cancer in humans.
3. As part of the Tumor Antigen Project, my laboratory has been analyzing differential expression of various genes in tumor cells relative to normal cells. The purpose of this research is to identify proteins that are abundantly expressed on certain tumor cells and that are either (i) not expressed, or (ii) expressed at lower levels, on corresponding normal cells. We call such differentially expressed proteins "tumor antigen proteins". When such a tumor antigen protein is identified, one can produce an antibody that recognizes and binds to that protein. Such an antibody finds use in the diagnosis of human cancer and may ultimately serve as an effective therapeutic in the treatment of human cancer.
4. In the course of the research conducted by Genentech's Tumor Antigen Project, we have employed a variety of scientific techniques for detecting and studying differential gene expression in human tumor cells relative to normal cells, at genomic DNA, mRNA and protein levels. An important example of one such technique is the well known and widely used technique of microarray analysis which has proven to be extremely useful for the identification of mRNA molecules that are differentially expressed in one tissue or cell type relative to another. In the course of our research using microarray analysis, we have identified approximately 200 gene transcripts that are present in human tumor cells at significantly higher levels than in corresponding normal human cells. To date, we have generated antibodies that bind to about 30 of the tumor antigen proteins expressed from these differentially expressed gene transcripts and have used these antibodies to quantitatively determine the level of production of these tumor antigen proteins in both human cancer cells and corresponding normal cells. We have then compared the levels of mRNA and protein in both the tumor and normal cells analyzed.
5. From the mRNA and protein expression analyses described in paragraph 4 above, we have observed that there is a strong correlation between changes in the level of mRNA present in any particular cell type and the level of protein

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expressed from that mRNA in that cell type. In approximately 80% of our observations we have found that increases in the level of a particular mRNA correlates with changes in the level of protein expressed from that mRNA when human tumor cells are compared with their corresponding normal cells.

6. Based upon my own experience accumulated in more than 20 years of research, including the data discussed in paragraphs 4 and 5 above and my knowledge of the relevant scientific literature, it is my considered scientific opinion that for human genes, an increased level of mRNA in a tumor cell relative to a normal cell typically correlates to a similar increase in abundance of the encoded protein in the tumor cell relative to the normal cell. In fact, it remains a central dogma in molecular biology that increased mRNA levels are predictive of corresponding increased levels of the encoded protein. While there have been published reports of genes for which such a correlation does not exist, it is my opinion that such reports are exceptions to the commonly understood general rule that increased mRNA levels are predictive of corresponding increased levels of the encoded protein.

7. I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information or belief are believed to be true, and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful statements may jeopardize the validity of the application or any patent issued thereon.

Dated: 5/07/04

By: Paul Polakis  
Paul Polakis, Ph.D.

# CURRICULUM VITAE

PAUL G. POLAKIS  
Staff Scientist  
Genentech, Inc  
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## **EDUCATION:**

Ph.D., Biochemistry, Department of Biochemistry,  
Michigan State University (1984)

B.S., Biology, College of Natural Science, Michigan State University (1977)

## PROFESSIONAL EXPERIENCE:

1999- 2002 Senior Scientist, Genentech, Inc.,  
S. San Francisco, CA

**1997 -1999** **Research Director**  
**Onyx Pharmaceuticals, Richmond, CA**

**1992- 1996** **Senior Scientist, Project Leader, Onyx Pharmaceuticals, Richmond, CA**

**1991-1992**      **Senior Scientist, Chiron Corporation, Emeryville, CA.**

1989-1991 Scientist, Cetus Corporation, Emeryville CA.

1987-1989 Postdoctoral Research Associate, Genentech, Inc., South San Francisco, CA.

**1985-1987** Postdoctoral Research Associate, Department of Medicine, Duke University Medical Center, Durham, NC

1984-1985	Assistant Professor, Department of Chemistry, Oberlin College, Oberlin, Ohio
1980-1984	Graduate Research Assistant, Department of Biochemistry, Michigan State University East Lansing, Michigan

**PUBLICATIONS:**

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Ashkenazi et al.

App. No. : 09/903,925

Filed : July 11, 2001

For : SECRETED AND  
TRANSMEMBRANE  
POLYPEPTIDES AND NUCLEIC  
ACIDS ENCODING THE SAME

Examiner : Hamud, Fozia M

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DECLARATION OF AVI ASHKENAZI, Ph.D UNDER 37 C.F.R. § 1.132

I, Avi Ashkenazi, Ph.D. declare and say as follows: -

1. I am Director and Staff Scientist at the Molecular Oncology Department of Genentech, Inc., South San Francisco, CA 94080.
2. I joined Genentech in 1988 as a postdoctoral fellow. Since then, I have investigated a variety of cellular signal transduction mechanisms, including apoptosis, and have developed technologies to modulate such mechanisms as a means of therapeutic intervention in cancer and autoimmune disease. I am currently involved in the investigation of a series of secreted proteins over-expressed in tumors, with the aim to identify useful targets for the development of therapeutic antibodies for cancer treatment.
3. My scientific Curriculum Vitae, including my list of publications, is attached to and forms part of this Declaration (Exhibit A).
4. Gene amplification is a process in which chromosomes undergo changes to contain multiple copies of certain genes that normally exist as a single copy, and is an important factor in the pathophysiology of cancer. Amplification of certain genes (e.g., Myc or Her2/Neu)

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gives cancer cells a growth or survival advantage relative to normal cells, and might also provide a mechanism of tumor cell resistance to chemotherapy or radiotherapy.

5. If gene amplification results in over-expression of the mRNA and the corresponding gene product, then it identifies that gene product as a promising target for cancer therapy, for example by the therapeutic antibody approach. Even in the absence of over-expression of the gene product, amplification of a cancer marker gene - as detected, for example, by the reverse transcriptase TaqMan® PCR or the fluorescence *in situ* hybridization (FISH) assays - is useful in the diagnosis or classification of cancer, or in predicting or monitoring the efficacy of cancer therapy. An increase in gene copy number can result not only from intrachromosomal changes but also from chromosomal aneuploidy. It is important to understand that detection of gene amplification can be used for cancer diagnosis even if the determination includes measurement of chromosomal aneuploidy. Indeed, as long as a significant difference relative to normal tissue is detected, it is irrelevant if the signal originates from an increase in the number of gene copies per chromosome and/or an abnormal number of chromosomes.

6. I understand that according to the Patent Office, absent data demonstrating that the increased copy number of a gene in certain types of cancer leads to increased expression of its product, gene amplification data are insufficient to provide substantial utility or well established utility for the gene product (the encoded polypeptide), or an antibody specifically binding the encoded polypeptide. However, even when amplification of a cancer marker gene does not result in significant over-expression of the corresponding gene product, this very absence of gene product over-expression still provides significant information for cancer diagnosis and treatment. Thus, if over-expression of the gene product does not parallel gene amplification in certain tumor types but does so in others, then parallel monitoring of gene amplification and gene product over-expression enables more accurate tumor classification and hence better determination of suitable therapy. In addition, absence of over-expression is crucial information for the practicing clinician. If a gene is amplified but the corresponding gene product is not over-expressed, the clinician accordingly will decide not to treat a patient with agents that target that gene product.

7. I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information or belief are believed to be true, and further that these statements were made with the knowledge that willful false statements and the like so

made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful statements may jeopardize the validity of the application or any patent issued thereon.

By:

Avi Ashkenazi

Avi Ashkenazi, Ph.D.

Date: 9/15/03

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## CURRICULUM VITAE

Avi Ashkenazi

July 2003

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### Education:

1983: B.S. in Biochemistry, with honors, Hebrew University, Israel  
1986: Ph.D. in Biochemistry, Hebrew University, Israel

### Employment:

1983-1986: Teaching assistant, undergraduate level course in Biochemistry  
1985-1986: Teaching assistant, graduate level course on Signal Transduction  
1986 - 1988: Postdoctoral fellow, Hormone Research Dept., UCSF, and  
Developmental Biology Dept., Genentech, Inc., with J. Ramachandran  
1988 - 1989: Postdoctoral fellow, Molecular Biology Dept., Genentech, Inc.,  
with D. Capon  
1989 - 1993: Scientist, Molecular Biology Dept., Genentech, Inc.  
1994 -1996: Senior Scientist, Molecular Oncology Dept., Genentech, Inc.  
1996-1997: Senior Scientist and Interim director, Molecular Oncology Dept.,  
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1997-1990: Senior Scientist and preclinical project team leader, Genentech, Inc.  
1999 -2002: Staff Scientist in Molecular Oncology, Genentech, Inc.  
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### Awards:

1988: First prize, The Boehringer Ingelheim Award

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**Editorial:**

Editorial Board Member: Current Biology

Associate Editor, Clinical Cancer Research.

Associate Editor, Cancer Biology and Therapy.

**Refereed papers:**

1. Gertler, A., Ashkenazi, A., and Madar, Z. Binding sites for human growth hormone and ovine and bovine prolactins in the mammary gland and liver of the lactating cow. *Mol. Cell. Endocrinol.* 34, 51-57 (1984).
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**Talks:**

1. Resistance of primary HIV isolates to CD4 is independent of CD4-gp120 binding affinity. UCSD Symposium, HIV Disease: Pathogenesis and Therapy. Greenelefe, FL, March 1991.
2. Use of immuno-hybrids to extend the half-life of receptors. IBC conference on Biopharmaceutical Halflife Extension. New Orleans, LA, June 1992.
3. Results with TNF receptor Immunoadhesins for the Treatment of Sepsis. IBC conference on Endotoxemia and Sepsis. Philadelphia, PA, June 1992.
4. Immunoadhesins: an alternative to human antibodies. IBC conference on Antibody Engineering. San Diego, CA, December 1993.
5. Tumor necrosis factor receptor: a potential therapeutic for human septic shock. American Society for Microbiology Meeting, Atlanta, GA, May 1993.
6. Protective efficacy of TNF receptor immunoadhesin vs anti-TNF monoclonal antibody in a rat model for endotoxic shock. 5th International Congress on TNF. Asilomar, CA, May 1994.
7. Interferon- $\gamma$  signals via a multisubunit receptor complex that contains two types of polypeptide chain. American Association of Immunologists Conference. San Francisco, CA, July 1995.
8. Immunoadhesins: Principles and Applications. Gordon Research Conference on Drug Delivery in Biology and Medicine. Ventura, CA, February 1996.

9. Apo-2 Ligand, a new member of the TNF family that induces apoptosis in tumor cells. Cambridge Symposium on TNF and Related Cytokines in Treatment of Cancer. Hilton-Head, NC, March 1996.
10. Induction of apoptosis by Apo2 Ligand. American Society for Biochemistry and Molecular Biology, Symposium on Growth Factors and Cytokine Receptors. New Orleans, LA, June, 1996.
11. Apo2 ligand, an extracellular trigger of apoptosis. 2nd Clontech Symposium, Palo Alto, CA, October 1996.
12. Regulation of apoptosis by members of the TNF ligand and receptor families. Stanford University School of Medicine, Palo Alto, CA, December 1996.
13. Apo-3: a novel receptor that regulates cell death and inflammation. 4th International Congress on Immune Consequences of Trauma, Shock, and Sepsis. Munich, Germany, March 1997.
14. New members of the TNF ligand and receptor families that regulate apoptosis, inflammation, and immunity. UCLA School of Medicine, LA, CA, March 1997.
15. Immunoadhesins: an alternative to monoclonal antibodies. 5th World Conference on Bispecific Antibodies. Volendam, Holland, June 1997.
16. Control of Apo2L signaling. Cold Spring Harbor Laboratory Symposium on Programmed Cell Death. Cold Spring Harbor, New York. September, 1997.
17. Chairman and speaker, Apoptosis Signaling session. IBC's 4th Annual Conference on Apoptosis. San Diego, CA., October 1997.
18. Control of Apo2L signaling by death and decoy receptors. American Association for the Advancement of Science. Philadelphia, PA, February 1998.
19. Apo2 ligand and its receptors. American Society of Immunologists. San Francisco, CA, April 1998.
20. Death receptors and ligands. 7th International TNF Congress. Cape Cod, MA, May 1998.
21. Apo2L as a potential therapeutic for cancer. UCLA School of Medicine. LA, CA, June 1998.
22. Apo2L as a potential therapeutic for cancer. Gordon Research Conference on Cancer Chemotherapy. New London, NH, July 1998.
23. Control of apoptosis by Apo2L. Endocrine Society Conference, Stevenson, WA, August 1998.
24. Control of apoptosis by Apo2L. International Cytokine Society Conference, Jerusalem, Israel, October 1998.

25. Apoptosis control by death and decoy receptors. American Association for Cancer Research Conference, Whistler, BC, Canada, March 1999.
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27. Apoptosis control by death and decoy receptors. Gordon Research Conference on Apoptosis, New London, NH, June 1999.
28. Apoptosis control by death and decoy receptors. Arthritis Foundation Research Conference, Alexandria GA, Aug 1999.
29. Safety and anti-tumor activity of recombinant soluble Apo2L/TRAIL. Cold Spring Harbor Laboratory Symposium on Programmed Cell Death. Cold Spring Harbor, NY, September 1999.
30. The Apo2L/TRAIL system: therapeutic potential. American Association for Cancer Research, Lake Tahoe, NV, Feb 2000.
31. Apoptosis and cancer therapy. Stanford University School of Medicine, Stanford, CA, Mar 2000.
32. Apoptosis and cancer therapy. University of Pennsylvania School of Medicine, Philadelphia, PA, Apr 2000.
33. Apoptosis signaling by Apo2L/TRAIL. International Congress on TNF. Trondheim, Norway, May 2000.
34. The Apo2L/TRAIL system: therapeutic potential. Cap-CURE summit meeting. Santa Monica, CA, June 2000.
35. The Apo2L/TRAIL system: therapeutic potential. MD Anderson Cancer Center. Houston, TX, June 2000.
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39. Apoptosis signaling by Apo2L/TRAIL. Kenote address, TNF family Minisymposium, NIH. Bethesda, MD, September 2000.
40. Death receptors: signaling and modulation. Keystone symposium on the Molecular basis of cancer. Taos, NM, Jan 2001.
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42. Apoptosis signaling by Apo2L/TRAIL. Weizmann Institute of Science, Rehovot, Israel, March 2001.
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45. Targeting death receptors in cancer with Apo2L/TRAIL. Biotechnology Organization conference, San Diego, CA, Jun 2001.
46. Apo2L/TRAIL signaling and apoptosis resistance mechanisms. Gordon Research Conference on Apoptosis, Oxford, UK, July 2001.
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48. Apoptosis signaling by death receptors: overview. International Society for Interferon and Cytokine Research conference, Cleveland, OH, Oct 2001.
49. Apoptosis signaling by death receptors. American Society of Nephrology Conference. San Francisco, CA, Oct 2001.
50. Targeting death receptors in cancer. Apoptosis: commercial opportunities. San Diego, CA, Apr 2002.
51. Apo2L/TRAIL signaling and apoptosis resistance mechanisms. Kimmel Cancer Research Center, Johns Hopkins University, Baltimore MD. May 2002.
52. Apoptosis control by Apo2L/TRAIL. (Keynote Address) University of Alabama Cancer Center Retreat, Birmingham, Ab. October 2002.
53. Apoptosis signaling by Apo2L/TRAIL. (Session co-chair) TNF international conference. San Diego, CA. October 2002.
54. Apoptosis signaling by Apo2L/TRAIL. Swiss Institute for Cancer Research (ISREC). Lausanne, Switzerland. Jan 2003.
55. Apoptosis induction with Apo2L/TRAIL. Conference on New Targets and Innovative Strategies in Cancer Treatment. Monte Carlo. February 2003.
56. Apoptosis signaling by Apo2L/TRAIL. Hermelin Brain Tumor Center Symposium on Apoptosis. Detroit, MI. April 2003.
57. Targeting apoptosis through death receptors. Sixth Annual Conference on Targeted Therapies in the Treatment of Breast Cancer. Kona, Hawaii. July 2003.
58. Targeting apoptosis through death receptors. Second International Conference on Targeted Cancer Therapy. Washington, DC. Aug 2003.

**Issued Patents:**

1. Ashkenazi, A., Chamow, S. and Kogan, T. Carbohydrate-directed crosslinking reagents. US patent 5,329,028 (Jul 12, 1994).
2. Ashkenazi, A., Chamow, S. and Kogan, T. Carbohydrate-directed crosslinking reagents. US patent 5,605,791 (Feb 25, 1997).
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PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Ashkenazi et al.	Group Art Unit: 1647	
Serial No.: 09/903,925	Examiner: Fozia Hamid	
Filed: July 11, 2001	<b>CERTIFICATE OF MAILING</b> I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Assistant Commissioner of Patents, Washington, D.C. 20231 on	
For: SECRETED AND TRANSMEMBRANE POLYPEPTIDES AND NUCLEIC ACIDS	Date	

**DECLARATION OF AUDREY D. GODDARD, Ph.D UNDER 37 C.F.R. § 1.132**

Assistant Commissioner of Patents  
Washington, D.C. 20231

Sir:

I, Audrey D. Goddard, Ph.D. do hereby declare and say as follows:

1. I am a Senior Clinical Scientist at the Experimental Medicine/BioOncology, Medical Affairs Department of Genentech, Inc., South San Francisco, California 94080.
2. Between 1993 and 2001, I headed the DNA Sequencing Laboratory at the Molecular Biology Department of Genentech, Inc. During this time, my responsibilities included the identification and characterization of genes contributing to the oncogenic process, and determination of the chromosomal localization of novel genes.
3. My scientific Curriculum Vitae, including my list of publications, is attached to and forms part of this Declaration (Exhibit A).

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4. I am familiar with a variety of techniques known in the art for detecting and quantifying the amplification of oncogenes in cancer, including the quantitative TaqMan PCR (i.e., "gene amplification") assay described in the above captioned patent application.

5. The TaqMan PCR assay is described, for example, in the following scientific publications: Higuchi *et al.*, Biotechnology 10:413-417 (1992) (Exhibit B); Livak *et al.*, PCR Methods Appl., 4:357-362 (1995) (Exhibit C) and Heid *et al.*, Genome Res. 6:986-994 (1996) (Exhibit D). Briefly, the assay is based on the principle that successful PCR yields a fluorescent signal due to Taq DNA polymerase-mediated exonuclease digestion of a fluorescently labeled oligonucleotide that is homologous to a sequence between two PCR primers. The extent of digestion depends directly on the amount of PCR, and can be quantified accurately by measuring the increment in fluorescence that results from decreased energy transfer. This is an extremely sensitive technique, which allows detection in the exponential phase of the PCR reaction and, as a result, leads to accurate determination of gene copy number.

6. The quantitative fluorescent TaqMan PCR assay has been extensively and successfully used to characterize genes involved in cancer development and progression. Amplification of protooncogenes has been studied in a variety of human tumors, and is widely considered as having etiological, diagnostic and prognostic significance. This use of the quantitative TaqMan PCR assay is exemplified by the following scientific publications: Pennica *et al.*, Proc. Natl. Acad. Sci. USA 95(25):14717-14722 (1998) (Exhibit E); Pitti *et al.*, Nature 396(6712):699-703 (1998) (Exhibit F) and Bieche *et al.*, Int. J. Cancer 78:661-666 (1998) (Exhibit G), the first two of which I am co-author. In particular, Pennica *et al.* have used the quantitative TaqMan PCR assay to study relative gene amplification of WISP and c-myc in various cell lines, colorectal tumors and normal mucosa. Pitti *et al.* studied the genomic amplification of a decoy receptor for Fas ligand in lung and colon cancer, using the quantitative TaqMan PCR assay. Bieche *et al.* used the assay to study gene amplification in breast cancer.

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7. It is my personal experience that the quantitative TaqMan PCR technique is technically sensitive enough to detect at least a 2-fold increase in gene copy number relative to control. It is further my considered scientific opinion that an at least 2-fold increase in gene copy number in a tumor tissue sample relative to a normal (i.e., non-tumor) sample is significant and useful in that the detected increase in gene copy number in the tumor sample relative to the normal sample serves as a basis for using relative gene copy number as quantitated by the TaqMan PCR technique as a diagnostic marker for the presence or absence of tumor in a tissue sample of unknown pathology. Accordingly, a gene identified as being amplified at least 2-fold by the quantitative TaqMan PCR assay in a tumor sample relative to a normal sample is useful as a marker for the diagnosis of cancer, for monitoring cancer development and/or for measuring the efficacy of cancer therapy.

8. I declare further that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true. I declare that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Jan. 16, 2003

Date

Audrey Goddard

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**PROFESSIONAL EXPERIENCE**

**Genentech, Inc.** **1993-present**  
**South San Francisco, CA**

**2001 - present      Senior Clinical Scientist**  
Experimental Medicine / BioOncology, Medical Affairs

**Responsibilities:**

- *Companion diagnostic oncology products*
- *Acquisition of clinical samples from Genentech's clinical trials for translational research*
- *Translational research using clinical specimen and data for drug development and diagnostics*
- *Member of Development Science Review Committee, Diagnostic Oversight Team, 21 CFR Part 11 Subteam*

**Interests:**

- *Ethical and legal implications of experiments with clinical specimens and data*
- *Application of pharmacogenomics in clinical trials*

**1998 - 2001      Senior Scientist**

Head of the DNA Sequencing Laboratory, Molecular Biology Department, Research

**Responsibilities:**

- *Management of a laboratory of up to nineteen -including postdoctoral fellow, associate scientist, senior research associate and research assistants/associate levels*
- *Management of a \$750K budget*
- *DNA sequencing core facility supporting a 350+ person research facility.*
- *DNA sequencing for high throughput gene discovery, - ESTs, cDNAs, and constructs*
- *Genomic sequence analysis and gene identification*
- *DNA sequence and primary protein analysis*

**Research:**

- *Chromosomal localization of novel genes*
- *Identification and characterization of genes contributing to the oncogenic process*
- *Identification and characterization of genes contributing to inflammatory diseases*
- *Design and development of schemes for high throughput genomic DNA sequence analysis*
- *Candidate gene prediction and evaluation*

1993 - 1998      **Scientist**

Head of the DNA Sequencing Laboratory, Molecular Biology Department, Research

Responsibilities

- *DNA sequencing core facility supporting a 350+ person research facility*
- *Assumed responsibility for a pre-existing team of five technicians and expanded the group into fifteen, introducing a level of middle management and additional areas of research*
- *Participated in the development of the basic plan for high throughput secreted protein discovery program – sequencing strategies, data analysis and tracking, database design*
- *High throughput EST and cDNA sequencing for new gene identification.*
- *Design and implementation of analysis tools required for high throughput gene identification.*
- *Chromosomal localization of genes encoding novel secreted proteins.*

Research:

- *Genomic sequence scanning for new gene discovery.*
- *Development of signal peptide selection methods.*
- *Evaluation of candidate disease genes.*
- *Growth hormone receptor gene SNPs in children with Idiopathic short stature*

**Imperial Cancer Research Fund**  
London, UK with Dr. Ellen Solomon

**1989-1992**

**6/89 – 12/92 Postdoctoral Fellow**

- Cloning and characterization of the genes fused at the acute promyelocytic leukemia translocation breakpoints on chromosomes 17 and 15.
- Prepared a successfully funded European Union multi-center grant application

**McMaster University**  
Hamilton, Ontario, Canada with Dr. G. D. Sweeney

**1983**

**5/83 – 8/83: NSERC Summer Student**

- *In vitro metabolism of β-naphthoflavone in C57BL/6J and DBA mice*

**EDUCATION**

**Ph.D.**

"Phenotypic and genotypic effects of mutations in the human retinoblastoma gene."

**Supervisor:** Dr. R. A. Phillips

University of Toronto

Toronto, Ontario, Canada.

1989

Department of Medical  
Biophysics.

**Honours B.Sc**

"The *in vitro* metabolism of the cytochrome P-448 inducer β-naphthoflavone in C57BL/6J mice."

**Supervisor:** Dr. G. D. Sweeney

McMaster University,

Hamilton, Ontario, Canada.

1983

Department of Biochemistry

## **ACADEMIC AWARDS**

Imperial Cancer Research Fund Postdoctoral Fellowship	1989-1992
Medical Research Council Studentship	1983-1988
NSERC Undergraduate Summer Research Award	1983
Society of Chemical Industry Merit Award (Hons. Biochem.)	1983
Dr. Harry Lyman Hooker Scholarship	1981-1983
J.L.W. Gill Scholarship	1981-1982
Business and Professional Women's Club Scholarship	1980-1981
Wyerhauser Foundation Scholarship	1979-1980

## **INVITED PRESENTATIONS**

Genentech's gene discovery pipeline: High throughput identification, cloning and characterization of novel genes. Functional Genomics: From Genome to Function, Litchfield Park, AZ, USA. October 2000

High throughput identification, cloning and characterization of novel genes. G2K: Back to Science, Advances in Genome Biology and Technology I. Marco Island, FL, USA. February 2000

Quality control in DNA Sequencing: The use of Phred and Phrap. Bay Area Sequencing Users Meeting, Berkeley, CA, USA. April 1999

High throughput secreted protein identification and cloning. Tenth International Genome Sequencing and Analysis Conference, Miami, FL, USA. September 1998

The evolution of DNA sequencing: The Genentech perspective. Bay Area Sequencing Users Meeting, Berkeley, CA, USA. May 1998

Partial Growth Hormone Insensitivity: The role of GH-receptor mutations in Idiopathic Short Stature. Tenth Annual National Cooperative Growth Study Investigators Meeting, San Francisco, CA, USA. October, 1996

Growth hormone (GH) receptor defects are present in selected children with non-GH-deficient short stature: A molecular basis for partial GH-insensitivity. 76<sup>th</sup> Annual Meeting of The Endocrine Society, Anaheim, CA, USA. June 1994

A previously uncharacterized gene, myl, is fused to the retinoic acid receptor alpha gene in acute promyelocytic leukemia. XV International Association for Comparative Research on Leukemia and Related Disease, Padua, Italy. October 1991

**PATENTS**

Goddard A, Godowski PJ, Gurney AL. NL2 Tie ligand homologue polypeptide. Patent Number: 6,455,496. Date of Patent: Sept. 24, 2002.

**Goddard A**, Godowski PJ and Gurney AL. NL3 Tie ligand homologue nucleic acids. Patent Number: 6,426,218. Date of Patent: July 30, 2002.

Godowski P, Gurney A, Hillan KJ, Botstein D, **Goddard A**, Roy M, Ferrara N, Tumas D, Schwall R. NL4 Tie ligand homologue nucleic acid. Patent Number: 6,4137,770. Date of Patent: July 2, 2002.

Ashkenazi A, Fong S, **Goddard A**, Gurney AL, Napier MA, Tumas D, Wood WI. Nucleic acid encoding A-33 related antigen poly peptides. Patent Number: 6,410,708. Date of Patent: Jun. 25, 2002.

Botstein DA, Cohen RL, **Goddard AD**, Gurney AL, Hillan KJ, Lawrence DA, Levine AJ, Pennica D, Roy MA and Wood WI. WISP polypeptides and nucleic acids encoding same. Patent Number: 6,387,657. Date of Patent: May 14, 2002.

**Goddard A**, Godowski PJ and Gurney AL. Tie ligands. Patent Number: 6,372,491. Date of Patent: April 16, 2002.

Godowski PJ, Gurney AL, **Goddard A** and Hillan K. TIE ligand homologue antibody. Patent Number: 6,350,450. Date of Patent: Feb. 26, 2002.

Fong S, Ferrara N, **Goddard A**, Godowski PJ, Gurney AL, Hillan K and Williams PM. Tie receptor tyrosine kinase ligand homologues. Patent Number: 6,348,351. Date of Patent: Feb. 19, 2002.

**Goddard A**, Godowski PJ and Gurney AL. Ligand homologues. Patent Number: 6,348,350. Date of Patent: Feb. 19, 2002.

Attie KM, Carlsson LMS, Gesundheit N and **Goddard A**. Treatment of partial growth hormone insensitivity syndrome. Patent Number: 6,207,640. Date of Patent: March 27, 2001.

Fong S, Ferrara N, **Goddard A**, Godowski PJ, Gurney AL, Hillan K and Williams PM. Nucleic acids encoding NL-3. Patent Number: 6,074,873. Date of Patent: June 13, 2000

Attie K, Carlsson LMS, Gesunheit N and **Goddard A**. Treatment of partial growth hormone insensitivity syndrome. Patent Number: 5,824,642. Date of Patent: October 20, 1998

Attie K, Carlsson LMS, Gesunheit N and **Goddard A**. Treatment of partial growth hormone insensitivity syndrome. Patent Number: 5,646,113. Date of Patent: July 8, 1997

Multiple additional provisional applications filed

## PUBLICATIONS

Seshasayee D, Dowd P, Gu Q, Erickson S, **Goddard AD**. Comparative sequence analysis of the *HER2* locus in mouse and man. Manuscript in preparation.

Abuzzahab MJ, **Goddard A**, Grigorescu F, Lautier C, Smith RJ and Chernausek SD. Human IGF-1 receptor mutations resulting in pre- and post-natal growth retardation. Manuscript in preparation.

Aggarwal S, Xie, M-H, Foster J, Frantz G, Stinson J, Corpuz RT, Simmons L, Hillan K, Yansura DG, Vandlen RL, **Goddard AD** and Gurney AL. FHFR, a novel receptor for the fibroblast growth factors. Manuscript submitted.

Adams SH, Chui C, Schilbach SL, Yu XX, **Goddard AD**, Grimaldi JC, Lee J, Dowd P, Colman S., Lewin DA. (2001) BFIT, a unique acyl-CoA thioesterase induced in thermogenic brown adipose tissue: Cloning, organization of the human gene, and assessment of a potential link to obesity. *Biochemical Journal* **360**: 135-142.

Lee J, Ho WH, Maruoka M, Corpuz RT, Baldwin DT, Foster JS, **Goddard AD**, Yansura DG, Vandlen RL, Wood WI, Gurney AL. (2001) IL-17E, a novel proinflammatory ligand for the IL-17 receptor homolog IL-17Rh1. *Journal of Biological Chemistry* **276**(2): 1660-1664.

Xie M-H, Aggarwal S, Ho W-H, Foster J, Zhang Z, Stinson J, Wood WI, **Goddard AD** and Gurney AL. (2000) Interleukin (IL)-22, a novel human cytokine that signals through the interferon-receptor related proteins CRF2-4 and IL-22R. *Journal of Biological Chemistry* **275**: 31335-31339.

Weiss GA, Watanabe CK, Zhong A, **Goddard A** and Sidhu SS. (2000) Rapid mapping of protein functional epitopes by combinatorial alanine scanning. *Proc. Natl. Acad. Sci. USA* **97**: 8950-8954.

Guo S, Yamaguchi Y, Schilbach S, Wada T, Lee J, **Goddard A**, French D, Handa H, Rosenthal A. (2000) A regulator of transcriptional elongation controls vertebrate neuronal development. *Nature* **408**: 366-369.

Yan M, Wang L-C, Hymowitz SG, Schilbach S, Lee J, **Goddard A**, de Vos AM, Gao WQ, Dixit VM. (2000) Two-amino acid molecular switch in an epithelial morphogen that regulates binding to two distinct receptors. *Science* **290**: 523-527.

Sehl PD, Tai JTN, Hillan KJ, Brown LA, **Goddard A**, Yang R, Jin H and Lowe DG. (2000) Application of cDNA microarrays in determining molecular phenotype in cardiac growth, development, and response to injury. *Circulation* **101**: 1990-1999.

Guo S, Brush J, Teraoka H, **Goddard A**, Wilson SW, Mullins MC and Rosenthal A. (1999) Development of noradrenergic neurons in the zebrafish hindbrain requires BMP, FGF8, and the homeodomain protein soulless/Phox2A. *Neuron* **24**: 555-566.

Stone D, Murone, M, Luoh, S, Ye W, Armanini P, Gurney A, Phillips HS, Brush, J, **Goddard A**, de Sauvage FJ and Rosenthal A. (1999) Characterization of the human suppressor of fused; a negative regulator of the zinc-finger transcription factor Gli. *J. Cell Sci.* **112**: 4437-4448.

Xie M-H, Holcomb I, Deuel B, Dowd P, Huang A, Vagts A, Foster J, Liang J, Brush J, Gu Q, Hillan K, **Goddard A** and Gurney, A.L. (1999) FGF-19, a novel fibroblast growth factor with unique specificity for FGFR4. *Cytokine* **11**: 729-735.

Yan M, Lee J, Schilbach S, **Goddard A** and Dixit V. (1999) mE10, a novel caspase recruitment domain-containing proapoptotic molecule. *J. Biol. Chem.* **274**(15): 10287-10292.

Gurney AL, Marsters SA, Huang RM, Pitti RM, Mark DT, Baldwin DT, Gray AM, Dowd P, Brush J, Heldens S, Schow P, **Goddard AD**, Wood WI, Baker KP, Godowski PJ and Ashkenazi A. (1999) Identification of a new member of the tumor necrosis factor family and its receptor, a human ortholog of mouse GITR. *Current Biology* **9**(4): 215-218.

Ridgway JBB, Ng E, Kern JA, Lee J, Brush J, **Goddard A** and Carter P. (1999) Identification of a human anti-CD55 single-chain Fv by subtractive panning of a phage library using tumor and nontumor cell lines. *Cancer Research* **59**: 2718-2723.

Pitti RM, Marsters SA, Lawrence DA, Roy M, Kischkel FC, Dowd P, Huang A, Donahue CJ, Sherwood SW, Baldwin DT, Godowski PJ, Wood WI, Gurney AL, Hillan KJ, Cohen RL, **Goddard AD**, Botstein D and Ashkenazi A. (1998) Genomic amplification of a decoy receptor for Fas ligand in lung and colon cancer. *Nature* **396**(6712): 699-703.

Pennica D, Swanson TA, Welsh JW, Roy MA, Lawrence DA, Lee J, Brush J, Taneyhill LA, Deuel B, Lew M, Watanabe C, Cohen RL, Melhem MF, Finley GG, Quirke P, **Goddard AD**, Hillan KJ, Gurney AL, Botstein D and Levine AJ. (1998) WISP genes are members of the connective tissue growth factor family that are up-regulated in wnt-1-transformed cells and aberrantly expressed in human colon tumors. *Proc. Natl. Acad. Sci. USA* **95**(25): 14717-14722.

Yang RB, Mark MR, Gray A, Huang A, Xie MH, Zhang M, **Goddard A**, Wood WI, Gurney AL and Godowski PJ. (1998) Toll-like receptor-2 mediates lipopolysaccharide-induced cellular signalling. *Nature* **395**(6699): 284-288.

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Marsters SA, Sheridan JP, Pitti RM, Huang A, Skubatch M, Baldwin D, Yuan J, Gurney A, **Goddard AD**, Godowski P and Ashkenazi A. (1997) A novel receptor for Apo2L/TRAIL contains a truncated death domain. *Current Biology* **7**(12): 1003-1006.

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Sheridan JP, Marsters SA, Pitti RM, Gurney A, Skubatch M, Baldwin D, Ramakrishnan L, Gray CL, Baker K, Wood WI, **Goddard AD**, Godowski P, and Ashkenazi A. (1997) Control of TRAIL-Induced Apoptosis by a Family of Signaling and Decoy Receptors. *Science* **277**(5327): 818-821.

**Goddard AD**, Dowd P, Chernausek S, Geffner M, Gertner J, Hintz R, Hopwood N, Kaplan S, Plotnick L, Rogol A, Rosenfield R, Saenger P, Mauras N, Hershkopf R, Angulo M and Attie, K. (1997) Partial growth hormone insensitivity: The role of growth hormone receptor mutations in idiopathic short stature. *J. Pediatr.* **131**: S51-55.

Klein RD, Sherman D, Ho WH, Stone D, Bennett GL, Moffat B, Vandlen R, Simmons L, Gu Q, Hongo JA, Devaux B, Poulsen K, Armanini M, Nozaki C, Asai N, **Goddard A**, Phillips H, Henderson CE, Takahashi M and Rosenthal A. (1997) A GPI-linked protein that interacts with Ret to form a candidate neurturin receptor. *Nature*. **387**(6634): 717-21.

Stone DM, Hynes M, Armanini M, Swanson TA, Gu Q, Johnson RL, Scott MP, Pennica D, **Goddard A**, Phillips H, Noll M, Hooper JE, de Sauvage F and Rosenthal A. (1996) The tumour-suppressor gene patched encodes a candidate receptor for Sonic hedgehog. *Nature* **384**(6605): 129-34.

Marsters SA, Sheridan JP, Donahue CJ, Pitti RM, Gray CL, **Goddard AD**, Bauer KD and Ashkenazi A. (1996) Apo-3, a new member of the tumor necrosis factor receptor family, contains a death domain and activates apoptosis and NF- $\kappa$ B. *Current Biology* **6**(12): 1669-76.

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Yang M, Luoh SM, **Goddard A**, Reilly D, Henzel W and Bass S. (1996) The bglX gene located at 47.8 min on the Escherichia coli chromosome encodes a periplasmic beta-glucosidase. *Microbiology* **142**: 1659-65.

**Goddard AD** and Black DM. (1996) Familial Cancer in Molecular Endocrinology of Cancer. Waxman, J. Ed. Cambridge University Press, Cambridge UK, pp.187-215.

Treanor JJS, Goodman L, de Sauvage F, Stone DM, Poulsom KT, Beck CD, Gray C, Armanini MP, Pollocks RA, Hefti F, Phillips HS, **Goddard A**, Moore MW, Buj-Bello A, Davis AM, Asai N, Takahashi M, Vandlen R, Henderson CE and Rosenthal A. (1996) Characterization of a receptor for GDNF. *Nature* **382**: 80-83.

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Bennett BD, Zeigler FC, Gu Q, Fendly B, **Goddard AD**, Gillett N and Matthews W. (1995) Molecular cloning of a ligand for the EPH-related receptor protein-tyrosine kinase Htk. *Proc. Natl. Acad. Sci. USA* **92**: 1866-1870.

Huang X, Yuang J, **Goddard A**, Foulis A, James RF, Lernmark A, Pujol-Borrell R, Rabinovitch A, Somoza N and Stewart TA. (1995) Interferon expression in the pancreases of patients with type I diabetes. *Diabetes* **44**: 658-664.

**Goddard AD**, Yuan JQ, Fairbairn L, Dexter M, Borrow J, Kozak C and Solomon E. (1995) Cloning of the murine homolog of the leukemia-associated PML gene. *Mammalian Genome* **6**: 732-737.

**Goddard AD, Covello R, Luoh SM, Clackson T, Attie KM, Gesundheit N, Rundle AC, Wells JA, Carlsson LMTI and The Growth Hormone Insensitivity Study Group.** (1995) Mutations of the growth hormone receptor in children with idiopathic short stature. *N. Engl. J. Med.* **333**: 1093-1098.

**Kuo SS, Moran P, Gripp J, Armanini M, Phillips HS, Goddard A and Caras IW.** (1994) Identification and characterization of Batk, a predominantly brain-specific non-receptor protein tyrosine kinase related to Csk. *J. Neurosci. Res.* **38**: 705-715.

**Mark MR, Scadden DT, Wang Z, Gu Q, Goddard A and Godowski PJ.** (1994) Rse, a novel receptor-type tyrosine kinase with homology to Axl/Ufo, is expressed at high levels in the brain. *Journal of Biological Chemistry* **269**: 10720-10728.

**Borrow J, Shipley J, Howe K, Kiely F, Goddard A, Sheer D, Srivastava A, Antony AC, Fioretos T, Mitelman F and Solomon E.** (1994) Molecular analysis of simple variant translocations in acute promyelocytic leukemia. *Genes Chromosomes Cancer* **9**: 234-243.

**Goddard AD and Solomon E.** (1993) Genetics of Cancer. *Adv. Hum. Genet.* **21**: 321-376.

**Borrow J, Goddard AD, Gibbons B, Katz F, Swirsky D, Fioretos T, Dube I, Winfield DA, Kingston J, Hagemeyer A, Rees JKH, Lister AT and Solomon E.** (1992) Diagnosis of acute promyelocytic leukemia by RT-PCR: Detection of *PML-RARA* and *RARA-PML* fusion transcripts. *Br. J. Haematol.* **82**: 529-540.

**Goddard AD, Borrow J and Solomon E.** (1992) A previously uncharacterized gene, *PML*, is fused to the retinoic acid receptor alpha gene in acute promyelocytic leukemia. *Leukemia* **6 Suppl 3**: 117S-119S.

**Zhu X, Dunn JM, Goddard AD, Squire JA, Becker A, Phillips RA and Gallie BL.** (1992) Mechanisms of loss of heterozygosity in retinoblastoma. *Cytogenet. Cell. Genet.* **59**: 248-252.

**Foulkes W, Goddard A. and Patel K.** (1991) Retinoblastoma linked with Seascale [letter]. *British Med. J.* **302**: 409.

**Goddard AD, Borrow J, Freemont PS and Solomon E.** (1991) Characterization of a novel zinc finger gene disrupted by the t(15;17) in acute promyelocytic leukemia. *Science* **254**: 1371-1374.

**Solomon E, Borrow J and Goddard AD.** (1991) Chromosomal aberrations in cancer. *Science* **254**: 1153-1160.

**Pajunen L, Jones TA, Goddard A, Sheer D, Solomon E, Pihlajaniemi T and Kivirikko KI.** (1991) Regional assignment of the human gene coding for a multifunctional peptide (P4HB) acting as the  $\beta$ -subunit of prolyl-4-hydroxylase and the enzyme protein disulfide isomerase to 17q25. *Cytogenet. Cell. Genet.* **56**: 165-168.

**Borrow J, Black DM, Goddard AD, Yagle MK, Frischauft A.-M and Solomon E.** (1991) Construction and regional localization of a *NotI* linking library from human chromosome 17q. *Genomics* **10**: 477-480.

**Borrow J, Goddard AD, Sheer D and Solomon E.** (1990) Molecular analysis of acute promyelocytic leukemia breakpoint cluster region on chromosome 17. *Science* **249**: 1577-1580.

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## RESEARCH /

## SIMULTANEOUS AMPLIFICATION AND DETECTION OF SPECIFIC DNA SEQUENCES

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We have enhanced the polymerase chain reaction (PCR) such that specific DNA sequences can be detected without opening the reaction tube. This enhancement requires the addition of ethidium bromide (EtBr) to a PCR. Since the fluorescence of EtBr increases in the presence of double-stranded (ds) DNA an increase in fluorescence in such a PCR indicates a positive amplification, which can be easily monitored externally. In fact, amplification can be continuously monitored in order to follow its progress. The ability to simultaneously amplify specific DNA sequences and detect the product of the amplification both simplifies and improves PCR and may facilitate its automation and more widespread use in the clinic or in other situations requiring high sample throughput.

"carryover" false positives in subsequent testing<sup>11</sup>.

These downstream processing steps would be eliminated if specific amplification and detection of amplified DNA took place simultaneously within an unopened reaction vessel. Assays in which such different processes take place without the need to separate reaction components have been termed "homogeneous". No truly homogeneous PCR assay has been demonstrated to date, although progress towards this end has been reported. Chehab, et al.<sup>12</sup>, developed a PCR product detection scheme using fluorescent primers that resulted in a fluorescent PCR product. Allele-specific primers, each with different fluorescent tags, were used to indicate the genotype of the DNA. However, the unincorporated primers must still be removed in a downstream process in order to visualize the result. Recently, Holland, et al.<sup>13</sup>, developed an assay in which the endogenous 5' exonuclease assay of *Taq* DNA polymerase was exploited to cleave a labeled oligonucleotide probe. The probe would only cleave if PCR amplification had produced its complementary sequence. In order to detect the cleavage products, however, a subsequent process is again needed.

We have developed a truly homogeneous assay for PCR and PCR product detection based upon the greatly increased fluorescence that ethidium bromide and other DNA binding dyes exhibit when they are bound to dsDNA<sup>14-16</sup>. As outlined in Figure 1, a prototypic PCR

**A**lthough the potential benefits of PCR<sup>1</sup> to clinical diagnostics are well-known<sup>2,3</sup>, it is still not widely used in this setting, even though it is four years since thermostable DNA polymerases<sup>4</sup> made PCR practical. Some of the reasons for its slow acceptance are high cost, lack of automation of pre- and post-PCR processing steps, and false positive results from carryover-contamination. The first two points are related in that labor is the largest contributor to cost at the present stage of PCR development. Most current assays require some form of "downstream" processing once thermocycling is done in order to determine whether the target DNA sequence was present and has amplified. These include DNA hybridization<sup>5,6</sup>, gel electrophoresis with or without use of restriction digestion<sup>7,8</sup>, HPLC<sup>9</sup>, or capillary electrophoresis<sup>10</sup>. These methods are labor-intensive, have low throughput, and are difficult to automate. The third point is also closely related to downstream processing. The handling of the PCR product in these downstream processes increases the chances that amplified DNA will spread through the typing lab, resulting in a risk of

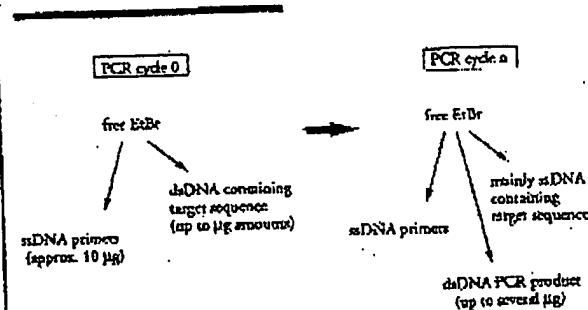


FIGURE 1 Principle of simultaneous amplification and detection of PCR product. The components of a PCR containing EtBr that are fluorescent are listed—EtBr itself, EtBr bound to either ssDNA or dsDNA. There is a large fluorescence enhancement when EtBr is bound to DNA and binding is greatly enhanced when DNA is double-stranded. After sufficient (n) cycles of PCR, the net increase in dsDNA results in additional EtBr binding, and a net increase in total fluorescence.

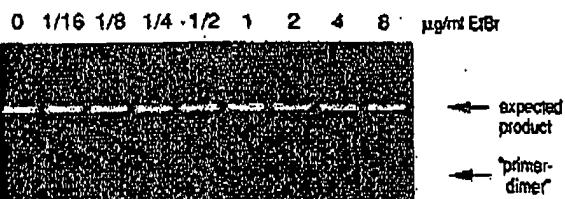


FIGURE 2 Gel electrophoresis of PCR amplification products of the human, nuclear gene, HLA DQ $\alpha$ , made in the presence of increasing amounts of EtBr (up to 8 µg/ml). The presence of EtBr has no obvious effect on the yield or specificity of amplification.

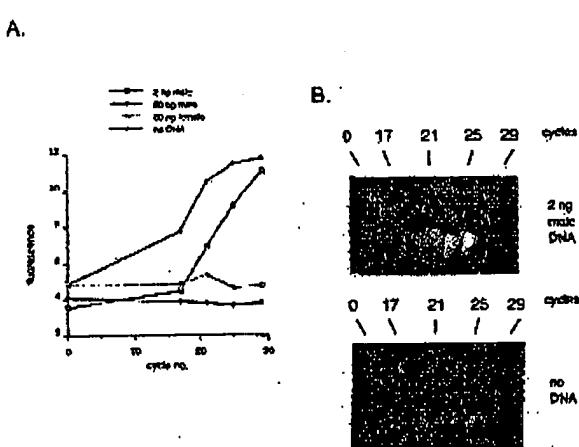


FIGURE 3 (A) Fluorescence measurements from PCRs that contain 0.5 µg/ml EtBr and that are specific for Y-chromosome repeat sequences. Five replicate PCRs were begun containing each of the DNAs specified. At each indicated cycle, one of the five replicate PCRs for each DNA was removed from thermocycling and its fluorescence measured. Units of fluorescence are arbitrary. (B) UV photography of PCR tubes (0.5 ml Eppendorf-style, polypropylene micro-centrifuge tubes) containing reactions, those starting from 2 ng male DNA and control reactions without any DNA, from (A).

begins with primers that are single-stranded DNA (ss-DNA), dNTPs, and DNA polymerase. An amount of dsDNA containing the target sequence (target DNA) is also typically present. This amount can vary, depending on the application, from single-cell amounts of DNA<sup>17</sup> to micrograms per PCR<sup>18</sup>. If EtBr is present, the reagents that will fluoresce, in order of increasing fluorescence, are free EtBr itself, and EtBr bound to the single-stranded DNA primers and to the double-stranded target DNA (by its intercalation between the stacked bases of the DNA double-helix). After the first denaturation cycle, target DNA will be largely single-stranded. After a PCR is completed, the most significant change is the increase in the amount of dsDNA (the PCR product itself) of up to several micrograms. Formerly free EtBr is bound to the additional dsDNA, resulting in an increase in fluorescence. There is also some decrease in the amount of ssDNA primer, but because the binding of EtBr to ssDNA is much less than to dsDNA, the effect of this change on the total fluorescence of the sample is small. The fluorescence increase can be measured by directing excitation illumination through the walls of the amplification vessel

before and after, or even continuously during, thermocycling.

## RESULTS

PCR in the presence of EtBr. In order to assess the effect of EtBr in PCR, amplifications of the human HLA DQ $\alpha$  gene<sup>19</sup> were performed with the dye present at concentrations from 0.06 to 8.0 µg/ml (a typical concentration of EtBr used in staining of nucleic acids following gel electrophoresis is 0.5 µg/ml). As shown in Figure 2, gel electrophoresis revealed little or no difference in the yield or quality of the amplification product whether EtBr was absent or present at any of these concentrations, indicating that EtBr does not inhibit PCR.

**Detection of human Y-chromosome specific sequences.** Sequence-specific, fluorescence enhancement of EtBr as a result of PCR was demonstrated in a series of amplifications containing 0.5 µg/ml EtBr and primers specific to repeat DNA sequences found on the human Y-chromosome<sup>20</sup>. These PCRs initially contained either 60 ng male, 60 ng female, 2 ng male human or no DNA. Five replicate PCRs were begun for each DNA. After 0, 17, 21, 24 and 29 cycles of thermocycling, a PCR for each DNA was removed from the thermocycler, and its fluorescence measured in a spectrofluorometer and plotted vs. amplification cycle number (Fig. 3A). The shape of this curve reflects the fact that by the time an increase in fluorescence can be detected, the increase in DNA is becoming linear and not exponential with cycle number. As shown, the fluorescence increased about three-fold over the background fluorescence for the PCRs containing human male DNA, but did not significantly increase for negative control PCRs, which contained either no DNA or human female DNA. The more male DNA present to begin with—60 ng versus 2 ng—the fewer cycles were needed to give a detectable increase in fluorescence. Gel electrophoresis on the products of these amplifications showed that DNA fragments of the expected size were made in the male DNA containing reactions and that little DNA synthesis took place in the control samples.

In addition, the increase in fluorescence was visualized by simply laying the completed, unopened PCRs on a UV transilluminator and photographing them through a red filter. This is shown in figure 3B for the reactions that began with 2 ng male DNA and those with no DNA.

**Detection of specific alleles of the human  $\beta$ -globin gene.** In order to demonstrate that this approach has adequate specificity to allow genetic screening, a detection of the sickle-cell anemia mutation was performed. Figure 4 shows the fluorescence from completed amplifications containing EtBr (0.5 µg/ml) as detected by photography of the reaction tubes on a UV transilluminator. These reactions were performed using primers specific for either the wild-type or sickle-cell mutation of the human  $\beta$ -globin gene<sup>21</sup>. The specificity for each allele is imparted by placing the sickle-mutation site at the terminal 3' nucleotide of one primer. By using an appropriate primer annealing temperature, primer extension—and thus amplification—can take place only if the 3' nucleotide of the primer is complementary to the  $\beta$ -globin allele present<sup>23,22</sup>.

Each pair of amplifications shown in Figure 4 consists of a reaction with either the wild-type allelic specific (left tube) or sickle-allele specific (right tube) primers. Three different DNAs were typed: DNA from a homozygous, wild-type  $\beta$ -globin individual (AA); from a heterozygous sickle  $\beta$ -globin individual (AS); and from a homozygous sickle  $\beta$ -globin individual (SS). Each DNA (50 ng genomic DNA to start each PCR) was analyzed in triplicate (3 pairs

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of reactions each). The DNA type was reflected in the relative fluorescence intensities in each pair of completed amplifications. There was a significant increase in fluorescence only where a  $\beta$ -globin allele DNA matched the primer set. When measured on a spectrofluorometer (data not shown), this fluorescence was about three times that present in a PCR where both  $\beta$ -globin alleles were mismatched to the primer set. Gel electrophoresis (not shown) established that this increase in fluorescence was due to the synthesis of nearly a microgram of a DNA fragment of the expected size for  $\beta$ -globin. There was little synthesis of dsDNA in reactions in which the allele-specific primer was mismatched to both alleles.

Continuous monitoring of a PCR. Using a fiber optic device, it is possible to direct excitation illumination from a spectrofluorometer to a PCR undergoing thermocycling and to return its fluorescence to the spectrofluorometer. The fluorescence readout of such an arrangement, directed at an EtBr-containing amplification of Y-chromosome specific sequences from 25 ng of human male DNA, is shown in Figure 5. The readout from a control PCR with no target DNA is also shown. Thirty cycles of PCR were monitored for each.

The fluorescence trace as a function of time clearly shows the effect of the thermocycling. Fluorescence intensity rises and falls inversely with temperature. The fluorescence intensity is minimum at the denaturation temperature (94°C) and maximum at the annealing/extension temperature (50°C). In the negative-control PCR, these fluorescence maxima and minima do not change significantly over the thirty thermocycles, indicating that there is little dsDNA synthesis without the appropriate target DNA, and there is little if any bleaching of EtBr during the continuous illumination of the sample.

In the PCR containing male DNA, the fluorescence maxima at the annealing/extension temperature begin to increase at about 4000 seconds of thermocycling, and continue to increase with time, indicating that dsDNA is being produced at a detectable level. Note that the fluorescence minima at the denaturation temperature do not significantly increase, presumably because at this temperature there is no dsDNA for EtBr to bind. Thus the course of the amplification is followed by tracking the fluorescence increase at the annealing temperature. Analysis of the products of these two amplifications by gel electrophoresis showed a DNA fragment of the expected size for the male DNA containing sample and no detectable DNA synthesis for the control sample.

## DISCUSSION

Downstream processes such as hybridization to a sequence-specific probe can enhance the specificity of DNA detection by PCR. The elimination of these processes means that the specificity of this homogeneous assay depends solely on that of PCR. In the case of sickle-cell disease, we have shown that PCR alone has sufficient DNA sequence specificity to permit genetic screening. Using appropriate amplification conditions, there is little non-specific production of dsDNA in the absence of the appropriate target allele.

The specificity required to detect pathogens can be more or less than that required to do genetic screening, depending on the number of pathogens in the sample and the amount of other DNA that must be taken with the sample. A difficult target is HIV, which requires detection of a viral genome that can be at the level of a few copies per thousands of host cells<sup>6</sup>. Compared with genetic screening, which is performed on cells containing at least one copy of the target sequence, HIV detection requires both more specificity and the input of more total

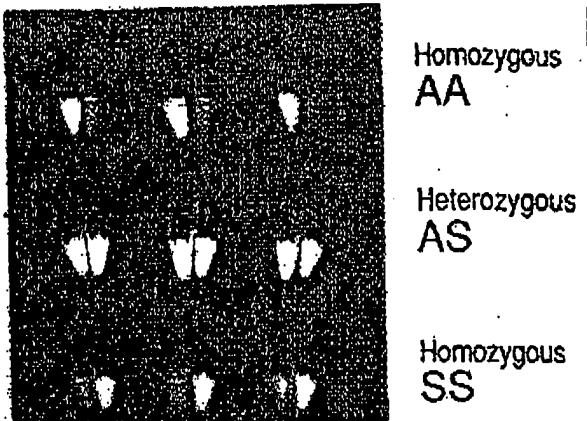


FIGURE 4 UV photography of PCR tubes containing amplifications using EtBr that are specific to wild-type (A) or sickle (S) alleles of the human  $\beta$ -globin gene. The left of each pair of tubes contains allele-specific primers to the wild-type alleles, the right tube primers to the sickle allele. The photograph was taken after 30 cycles of PCR, and the input DNAs and the alleles they contain are indicated. Fifty ng of DNA was used to begin PCR. Typing was done in triplicate (3 pairs of PCR) for each input DNA.

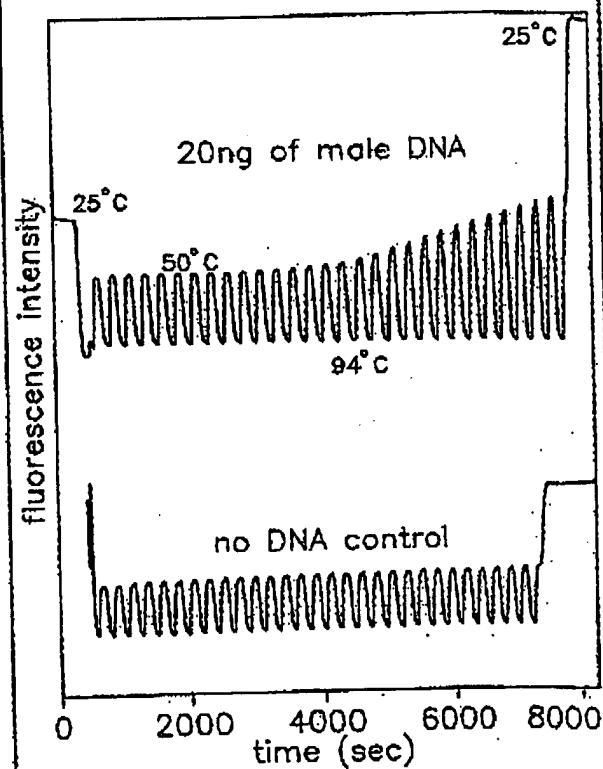


FIGURE 5 Continuous, real-time monitoring of a PCR. A fiber optic was used to carry excitation light in a PCR in progress and also emitted light back to a fluorometer (see Experimental Protocol). Amplification using human male-DNA specific primers in a PCR starting with 20 ng of human male DNA (top), or in a control PCR without DNA (bottom), were monitored. Thirty cycles of PCR were followed for each. The temperature cycled between 94°C (denaturation) and 50°C (annealing and extension). Note in the male DNA PCR, the cycle (time) dependent increase in fluorescence at the annealing/extension temperature.

DNA—up to microgram amounts—in order to have sufficient numbers of target sequences. This large amount of starting DNA in an amplification significantly increases the background fluorescence over which any additional fluorescence produced by PCR must be detected. An additional complication that occurs with targets in low copy-number is the formation of the "primer-dimer" artifact. This is the result of the extension of one primer using the other primer as a template. Although this occurs infrequently, once it occurs the extension product is a substrate for PCR amplification, and can compete with true PCR targets if those targets are rare. The primer-dimer product is of course dsDNA and thus is a potential source of false signal in this homogeneous assay.

To increase PCR specificity and reduce the effect of primer-dimer amplification, we are investigating a number of approaches, including the use of nested-primer amplifications that take place in a single tube<sup>3</sup>, and the "hot-start", in which nonspecific amplification is reduced by raising the temperature of the reaction before DNA synthesis begins<sup>23</sup>. Preliminary results using these approaches suggest that primer-dimer is effectively reduced and it is possible to detect the increase in EtBr fluorescence in a PCR instigated by a single HIV genome in a background of  $10^5$  cells. With larger numbers of cells, the background fluorescence contributed by genomic DNA becomes problematic. To reduce this background, it may be possible to use sequence-specific DNA-binding dyes that can be made to preferentially bind PCR product over genomic DNA by incorporating the dye-binding DNA sequence into the PCR product through a 5' "add-on" to the oligonucleotide primer<sup>24</sup>.

We have shown that the detection of fluorescence generated by an EtBr-containing PCR is straightforward, both once PCR is completed and continuously during thermocycling. The ease with which automation of specific DNA detection can be accomplished is the most promising aspect of this assay. The fluorescence analysis of completed PCRs is already possible with existing instrumentation in 96-well format<sup>25</sup>. In this format, the fluorescence in each PCR can be quantitated before, after, and even at selected points during thermocycling by moving the rack of PCRs to a 96-microwell plate fluorescence reader<sup>26</sup>.

The instrumentation necessary to continuously monitor multiple PCRs simultaneously is also simple in principle. A direct extension of the apparatus used here is to have multiple fiber optics transmit the excitation light and fluorescent emissions to and from multiple PCRs. The ability to monitor multiple PCRs continuously may allow quantitation of target DNA copy number. Figure 3 shows that the larger the amount of starting target DNA, the sooner during PCR a fluorescence increase is detected. Preliminary experiments (Higuchi and Dollinger, manuscript in preparation) with continuous monitoring have shown a sensitivity to two-fold differences in initial target DNA concentration.

Conversely, if the number of target molecules is known—as it can be in genetic screening—continuous monitoring may provide a means of detecting false positive and false negative results. With a known number of target molecules, a true positive would exhibit detectable fluorescence by a predictable number of cycles of PCR. Increases in fluorescence detected before or after that cycle would indicate potential artifacts. False negative results due to, for example, inhibition of DNA polymerase, may be detected by including within each PCR an inefficiently amplifying marker. This marker results in a fluorescence increase only after a large number of cycles—many more than are necessary to detect a true

positive. If a sample fails to have a fluorescence increase after this many cycles, inhibition may be suspected. Since, in this assay, conclusions are drawn based on the presence or absence of fluorescence signal alone, such controls may be important. In any event, before any test based on this principle is ready for the clinic, an assessment of its false positive/false negative rates will need to be obtained using a large number of known samples.

In summary, the inclusion in PCR of dyes whose fluorescence is enhanced upon binding dsDNA makes it possible to detect specific DNA amplification from outside the PCR tube. In the future, instruments based upon this principle may facilitate the more widespread use of PCR in applications that demand the high throughput of samples.

#### EXPERIMENTAL PROTOCOL

Human HLA-DQ $\alpha$  gene amplifications containing EtBr. PCRs were set up in 100  $\mu$ l volumes containing 10 mM Tris-HCl, pH 8.3; 50 mM KCl; 4 mM MgCl<sub>2</sub>; 2.5 units of *Taq* DNA polymerase (Perkin-Elmer Cetus, Norwalk, CT); 20 pmole each of human HLA-DQ $\alpha$  gene specific oligonucleotide primers GH26 and CH27<sup>19</sup> and approximately  $10^7$  copies of DQ $\alpha$  PCR product diluted from a previous reaction. Ethidium bromide (EtBr; Sigma) was used at the concentrations indicated in Figure 2. Thermocycling proceeded for 20 cycles in a model 480 thermocycler (Perkin-Elmer Cetus, Norwalk, CT) using a "step-cycle" program of 94°C for 1 min, denaturation and 60°C for 30 sec annealing and 72°C for 30 sec extension.

**Y-chromosome specific PCR.** PCRs (100  $\mu$ l total reaction volume) containing 0.5  $\mu$ g/ml EtBr were prepared as described for HLA-DQ $\alpha$ , except with different primers and target DNAs. These PCRs contained 15 pmole each male DNA-specific primers Y1.1 and Y1.2<sup>20</sup>, and either 60 ng male, 60 ng female, 2 ng male, or no human DNA. Thermocycling was 94°C for 1 min, and 60°C for 1 min using a "step-cycle" program. The number of cycles for a sample were as indicated in Figure 3. Fluorescence measurement is described below.

**Allele-specific, human  $\beta$ -globin gene PCR.** Amplifications of 100  $\mu$ l volume using 0.5  $\mu$ g/ml of EtBr were prepared as described for HLA-DQ $\alpha$  above except with different primers and target DNAs. These PCRs contained either primer pair HGP2/HB14A (wild-type globin specific primers) or HGP2/HB14S (sickle-globin specific primers) at 10 pmole each primer per PCR. These primers were developed by Wu et al<sup>21</sup>. Three different target DNAs were used in separate amplifications—50 ng each of human DNA that was homozygous for the sickle trait (SS), DNA that was heterozygous for the sickle trait (AS), or DNA that was homozygous for the w.t. globin (AA). Thermocycling was for 30 cycles at 94°C for 1 min, and 55°C for 1 min, using a "step-cycle" program. An annealing temperature of 55°C had been shown by Wu et al<sup>21</sup> to provide allele-specific amplification. Completed PCRs were photographed through a red filter (Wratten 23A) after placing the reaction tubes atop a model TM-36 transilluminator (UV-products San Gabriel, CA).

**Fluorescence measurement.** Fluorescence measurements were made on PCRs containing EtBr in a Fluorolog-2 fluorometer (SPEX, Edison, NJ). Excitation was at the 500 nm band with about 2 nm bandwidth with a GG 435 nm cut-off filter (Melles Crist, Inc., Irvine, CA) to exclude second-order light. Emitted light was detected at 570 nm with a bandwidth of about 7 nm. An OG 530 nm cut-off filter was used to remove the excitation light.

**Continuous fluorescence monitoring of PCR.** Continuous monitoring of a PCR in progress was accomplished using the spectrofluorometer and settings described above as well as a fiberoptic accessory (SPEX cat. no. 1950) to both send excitation light to, and receive emitted light from, a PCR placed in a well of a model 480 thermocycler (Perkin-Elmer Cetus). The probe end of the fiberoptic cable was attached with "5 minute-epoxy" to the open top of a PCR tube (a 0.5 ml polypropylene centrifuge tube with its cap removed) effectively sealing it. The exposed top of the PCR tube and the end of the fiberoptic cable were shielded from room light and the room lights were kept dimmed during each run. The monitored PCR was an amplification of Y-chromosome-specific repeat sequences as described above, except using an annealing/extension temperature of 50°C. The reaction was covered with mineral oil (2 drops) to prevent evaporation. Thermocycling and fluorescence measurement were started simultaneously. A time-base scan with a 10 second integration time

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was used and the emission signal was ratioed to the excitation signal to control for changes in light-source intensity. Data were collected using the dm3000i, version 2.5 (SPEX) data system.

#### Acknowledgments

We thank Bob Jones for help with the spectrofluometric measurements and Heatherbell Fong for editing this manuscript.

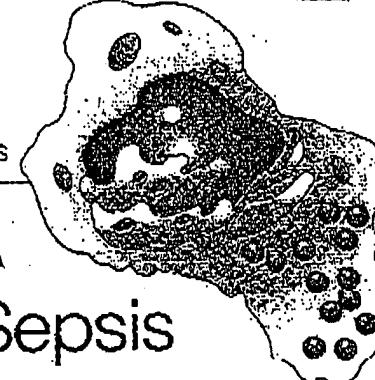
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2 x 1 hour incubation,

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**FACSIMILE TRANSMITTAL**

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**Date:** 19 July 2004

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**Heller Ehrman**

**Re:** Higuchi reference

**Fax No:** 324-6638

**From:** Patty Tobin, Assistant to Elizabeth M. Barnes, Ph.D.  
Genentech, Inc. Legal Department

**Number of Pages including this cover sheet:** 6

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# RESEARCH /

## SIMULTANEOUS AMPLIFICATION AND DETECTION OF SPECIFIC DNA SEQUENCES

Russell Higuchi\*, Gavin Dollinger<sup>1</sup>, P. Sean Walsh and Robert Griffith

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We have enhanced the polymerase chain reaction (PCR) such that specific DNA sequences can be detected without opening the reaction tube. This enhancement requires the addition of ethidium bromide (EtBr) to a PCR. Since the fluorescence of EtBr increases in the presence of double-stranded (ds) DNA an increase in fluorescence in such a PCR indicates a positive amplification, which can be easily monitored externally. In fact, amplification can be continuously monitored in order to follow its progress. The ability to simultaneously amplify specific DNA sequences and detect the product of the amplification both simplifies and improves PCR and may facilitate its automation and more widespread use in the clinic or in other situations requiring high sample throughput.

"carryover" false positives in subsequent testing<sup>11</sup>.

These downstream processing steps would be eliminated if specific amplification and detection of amplified DNA took place simultaneously within an unopened reaction vessel. Assays in which such different processes take place without the need to separate reaction components have been termed "homogeneous". No truly homogeneous PCR assay has been demonstrated to date, although progress towards this end has been reported. Chehab, et al.<sup>12</sup>, developed a PCR product detection scheme using fluorescent primers that resulted in a fluorescent PCR product. Allele-specific primers, each with different fluorescent tags, were used to indicate the genotype of the DNA. However, the unincorporated primers must still be removed in a downstream process in order to visualize the result. Recently, Holland, et al.<sup>13</sup>, developed an assay in which the endogenous 5' exonuclease assay of *Taq* DNA polymerase was exploited to cleave a labeled oligonucleotide probe. The probe would only cleave if PCR amplification had produced its complementary sequence. In order to detect the cleavage products, however, a subsequent process is again needed.

We have developed a truly homogeneous assay for PCR and PCR product detection based upon the greatly increased fluorescence that ethidium bromide and other DNA binding dyes exhibit when they are bound to ds-DNA<sup>14-16</sup>. As outlined in Figure 1, a prototypic PCR

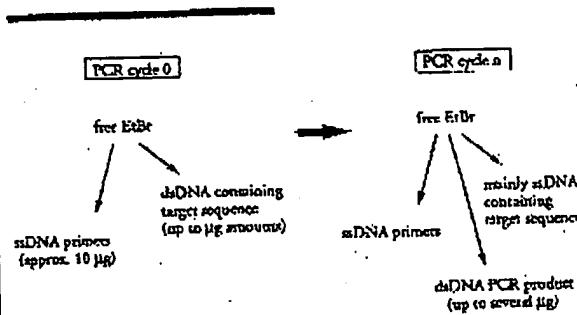


FIGURE 1 Principle of simultaneous amplification and detection of PCR product. The components of a PCR containing EtBr that are fluorescent are listed—EtBr itself, EtBr bound to either ssDNA or dsDNA. There is a large fluorescence enhancement when EtBr is bound to DNA and binding is greatly enhanced when DNA is double-stranded. After sufficient (n) cycles of PCR, the net increase in dsDNA results in additional EtBr binding, and a net increase in total fluorescence.

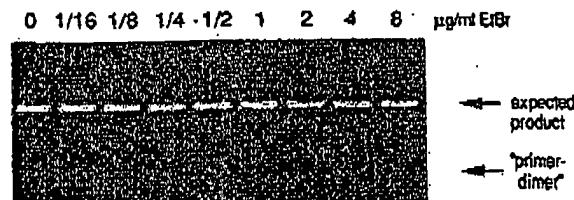


FIGURE 2 Gel electrophoresis of PCR amplification products of the human, nuclear gene, HLA DQ $\alpha$ , made in the presence of increasing amounts of EtBr (up to 8  $\mu$ g/ml). The presence of EtBr has no obvious effect on the yield or specificity of amplification.

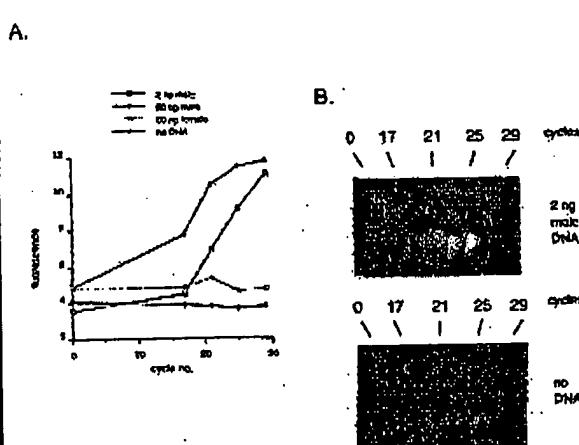


FIGURE 3 (A) Fluorescence measurements from PCRs that contain 0.5  $\mu$ g/ml EtBr and that are specific for Y-chromosome repeat sequences. Five replicate PCRs were begun containing each of the DNAs specified. At each indicated cycle, one of the five replicate PCRs for each DNA was removed from thermocycling and its fluorescence measured. Units of fluorescence are arbitrary. (B) UV photography of PCR tubes (0.5 ml Eppendorf-style, polypropylene micro-centrifuge tubes) containing reactions, those starting from 2 ng male DNA and control reactions without any DNA, from (A).

begins with primers that are single-stranded DNA (ss-DNA), dNTPs, and DNA polymerase. An amount of dsDNA containing the target sequence (target DNA) is also typically present. This amount can vary, depending on the application, from single-cell amounts of DNA<sup>17</sup> to micrograms per PCR<sup>18</sup>. If EtBr is present, the reagents that will fluoresce, in order of increasing fluorescence, are free EtBr itself, and EtBr bound to the single-stranded DNA primers and to the double-stranded target DNA (by its intercalation between the stacked bases of the DNA double-helix). After the first denaturation cycle, target DNA will be largely single-stranded. After a PCR is completed, the most significant change is the increase in the amount of dsDNA (the PCR product itself) of up to several micrograms. Formerly free EtBr is bound to the additional dsDNA, resulting in an increase in fluorescence. There is also some decrease in the amount of ssDNA primer, but because the binding of EtBr to ssDNA is much less than to dsDNA, the effect of this change on the total fluorescence of the sample is small. The fluorescence increase can be measured by directing excitation illumination through the walls of the amplification vessel

before and after, or even continuously during, thermocycling.

## RESULTS

PCR in the presence of EtBr. In order to assess the effect of EtBr in PCR, amplifications of the human HLA DQ $\alpha$  gene<sup>19</sup> were performed with the dye present at concentrations from 0.06 to 8.0  $\mu$ g/ml (a typical concentration of EtBr used in staining of nucleic acids following gel electrophoresis is 0.5  $\mu$ g/ml). As shown in Figure 2, gel electrophoresis revealed little or no difference in the yield or quality of the amplification product whether EtBr was absent or present at any of these concentrations, indicating that EtBr does not inhibit PCR.

**Detection of human Y-chromosome specific sequences.** Sequence-specific, fluorescence enhancement of EtBr as a result of PCR was demonstrated in a series of amplifications containing 0.5  $\mu$ g/ml EtBr and primers specific to repeat DNA sequences found on the human Y-chromosome<sup>20</sup>. These PCRs initially contained either 60 ng male, 60 ng female, 2 ng male human or no DNA. Five replicate PCRs were begun for each DNA. After 9, 17, 21, 24 and 29 cycles of thermocycling, a PCR for each DNA was removed from the thermocycler, and its fluorescence measured in a spectrophotometer and plotted vs. amplification cycle number (Fig. 3A). The shape of this curve reflects the fact that by the time an increase in fluorescence can be detected, the increase in DNA is becoming linear and not exponential with cycle number. As shown, the fluorescence increased about three-fold over the background fluorescence for the PCRs containing human male DNA, but did not significantly increase for negative control PCRs, which contained either no DNA or human female DNA. The more male DNA present to begin with—60 ng versus 2 ng—the fewer cycles were needed to give a detectable increase in fluorescence. Gel electrophoresis on the products of these amplifications showed that DNA fragments of the expected size were made in the male DNA containing reactions and that little DNA synthesis took place in the control samples.

In addition, the increase in fluorescence was visualized by simply laying the completed, unopened PCRs on a UV transilluminator and photographing them through a red filter. This is shown in figure 3B for the reactions that began with 2 ng male DNA and those with no DNA.

**Detection of specific alleles of the human  $\beta$ -globin gene.** In order to demonstrate that this approach has adequate specificity to allow genetic screening, a detection of the sickle-cell anemia mutation was performed. Figure 4 shows the fluorescence from completed amplifications containing EtBr (0.5  $\mu$ g/ml) as detected by photography of the reaction tubes on a UV transilluminator. These reactions were performed using primers specific for either the wild-type or sickle-cell mutation of the human  $\beta$ -globin gene<sup>21</sup>. The specificity for each allele is imparted by placing the sickle-mutation site at the terminal 3' nucleotide of one primer. By using an appropriate primer annealing temperature, primer extension—and thus amplification—can take place only if the 3' nucleotide of the primer is complementary to the  $\beta$ -globin allele present<sup>21,22</sup>.

Each pair of amplifications shown in Figure 4 consists of a reaction with either the wild-type allele specific (left tube) or sickle-allele specific (right tube) primers. Three different DNAs were typed: DNA from a homozygous wild-type  $\beta$ -globin individual (AA); from a heterozygous sickle  $\beta$ -globin individual (AS); and from a homozygous sickle  $\beta$ -globin individual (SS). Each DNA (50 ng genomic DNA to start each PCR) was analyzed in triplicate (3 pairs

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of reactions each). The DNA type was reflected in the relative fluorescence intensities in each pair of completed amplifications. There was a significant increase in fluorescence only where a  $\beta$ -globin allele DNA matched the primer set. When measured on a spectrofluorometer (data not shown), this fluorescence was about three times that present in a PCR where both  $\beta$ -globin alleles were mismatched to the primer set. Gel electrophoresis (not shown) established that this increase in fluorescence was due to the synthesis of nearly a microgram of a DNA fragment of the expected size for  $\beta$ -globin. There was little synthesis of dsDNA in reactions in which the allele-specific primer was mismatched to both alleles.

Continuous monitoring of a PCR. Using a fiber optic device, it is possible to direct excitation illumination from a spectrofluorometer to a PCR undergoing thermocycling and to return its fluorescence to the spectrofluorometer. The fluorescence readout of such an arrangement, directed at an EtBr-containing amplification of Y-chromosome specific sequences from 25 ng of human male DNA, is shown in Figure 5. The readout from a control PCR with no target DNA is also shown. Thirty cycles of PCR were monitored for each.

The fluorescence trace as a function of time clearly shows the effect of the thermocycling. Fluorescence intensity rises and falls inversely with temperature. The fluorescence intensity is minimum at the denaturation temperature (94°C) and maximum at the annealing/extension temperature (50°C). In the negative-control PCR, these fluorescence maxima and minima do not change significantly over the thirty thermocycles, indicating that there is little dsDNA synthesis without the appropriate target DNA, and there is little if any bleaching of EtBr during the continuous illumination of the sample.

In the PCR containing male DNA, the fluorescence maxima at the annealing/extension temperature begin to increase at about 4000 seconds of thermocycling, and continue to increase with time, indicating that dsDNA is being produced at a detectable level. Note that the fluorescence minima at the denaturation temperature do not significantly increase, presumably because at this temperature there is no dsDNA for EtBr to bind. Thus the course of the amplification is followed by tracking the fluorescence increase at the annealing temperature. Analysis of the products of these two amplifications by gel electrophoresis showed a DNA fragment of the expected size for the male DNA containing sample and no detectable DNA synthesis for the control sample.

## DISCUSSION

Downstream processes such as hybridization to a sequence-specific probe can enhance the specificity of DNA detection by PCR. The elimination of these processes means that the specificity of this homogeneous assay depends solely on that of PCR. In the case of sickle-cell disease, we have shown that PCR alone has sufficient DNA sequence specificity to permit genetic screening. Using appropriate amplification conditions, there is little non-specific production of dsDNA in the absence of the appropriate target allele.

The specificity required to detect pathogens can be more or less than that required to do genetic screening, depending on the number of pathogens in the sample and the amount of other DNA that must be taken with the sample. A difficult target is HIV, which requires detection of a viral genome that can be at the level of a few copies per thousands of host cells<sup>23</sup>. Compared with genetic screening, which is performed on cells containing at least one copy of the target sequence, HIV detection requires both more specificity and the input of more total

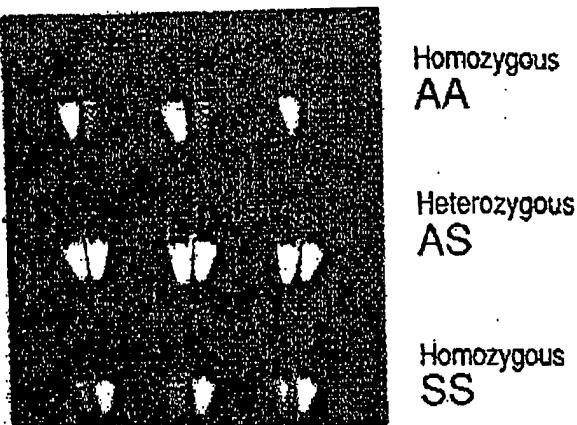


FIGURE 4 UV photography of PCR tubes containing amplifications using EtBr that are specific to wild-type (A) or sickle (S) alleles of the human  $\beta$ -globin gene. The left of each pair of tubes contains allele-specific primers to the wild-type alleles, the right tube primers to the sickle allele. The photograph was taken after 30 cycles of PCR, and the input DNAs and the alleles they contain are indicated. Fifty ng of DNA was used to begin PCR. Typing was done in triplicate (3 pairs of PCR) for each input DNA.

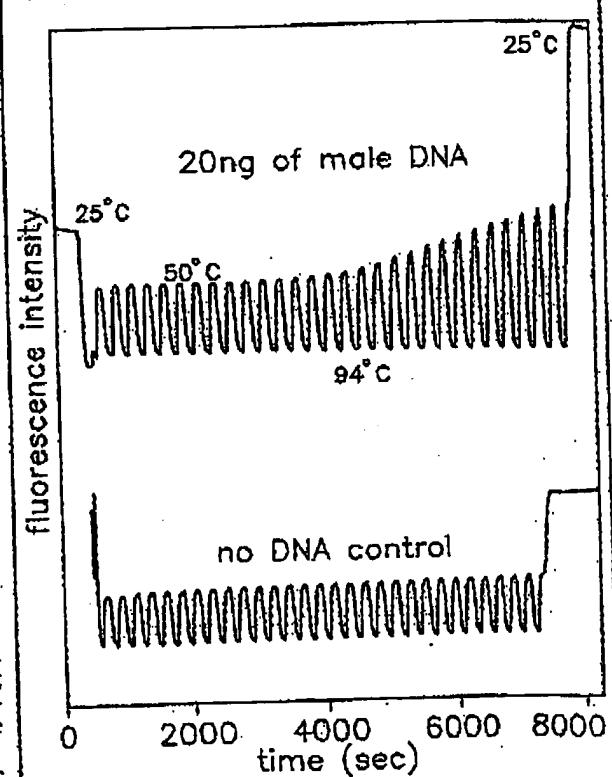


FIGURE 5 Continuous, real-time monitoring of a PCR. A fiber optic was used to carry excitation light to a PCR in progress and also emitted light back to a fluorometer (see Experimental Protocol). Amplification using human male-DNA specific primers in a PCR starting with 20 ng of human male DNA (top), or in a control PCR without DNA (bottom), were monitored. Thirty cycles of PCR were followed for each. The temperature cycled between 94°C (denaturation) and 50°C (annealing and extension). Note in the male DNA PCR, the cycle (time) dependent increase in fluorescence at the annealing/extension temperature.

DNA—up to microgram amounts—in order to have sufficient numbers of target sequences. This large amount of starting DNA in an amplification significantly increases the background fluorescence over which any additional fluorescence produced by PCR must be detected. An additional complication that occurs with targets in low copy-number is the formation of the "primer-dimer" artifact. This is the result of the extension of one primer using the other primer as a template. Although this occurs infrequently, once it occurs the extension product is a substrate for PCR amplification, and can compete with true PCR targets if those targets are rare. The primer-dimer product is of course dsDNA and thus is a potential source of false signal in this homogeneous assay.

To increase PCR specificity and reduce the effect of primer-dimer amplification, we are investigating a number of approaches, including the use of nested-primer amplifications that take place in a single tube<sup>8</sup>, and the "hot-start", in which nonspecific amplification is reduced by raising the temperature of the reaction before DNA synthesis begins<sup>23</sup>. Preliminary results using these approaches suggest that primer-dimer is effectively reduced and it is possible to detect the increase in EtBr fluorescence in a PCR instigated by a single HIV genome in a background of 10<sup>3</sup> cells. With larger numbers of cells, the background fluorescence contributed by genomic DNA becomes problematic. To reduce this background, it may be possible to use sequence-specific DNA-binding dyes that can be made to preferentially bind PCR product over genomic DNA by incorporating the dye-binding DNA sequence into the PCR product through a 5' "add-on" to the oligonucleotide primer<sup>24</sup>.

We have shown that the detection of fluorescence generated by an EtBr-containing PCR is straightforward, both once PCR is completed and continuously during thermocycling. The ease with which automation of specific DNA detection can be accomplished is the most promising aspect of this assay. The fluorescence analysis of completed PCRs is already possible with existing instrumentation in 96-well format<sup>25</sup>. In this format, the fluorescence in each PCR can be quantitated before, after, and even at selected points during thermocycling by moving the rack of PCRs to a 96-microwell plate fluorescence reader<sup>26</sup>.

The instrumentation necessary to continuously monitor multiple PCRs simultaneously is also simple in principle. A direct extension of the apparatus used here is to have multiple fiber optics transmit the excitation light and fluorescent emissions to and from multiple PCRs. The ability to monitor multiple PCRs continuously may allow quantitation of target DNA copy number. Figure 3 shows that the larger the amount of starting target DNA, the sooner during PCR a fluorescence increase is detected. Preliminary experiments (Higuchi and Dollinger, manuscript in preparation) with continuous monitoring have shown a sensitivity to two-fold differences in initial target DNA concentration.

Conversely, if the number of target molecules is known—as it can be in genetic screening—continuous monitoring may provide a means of detecting false positive and false negative results. With a known number of target molecules, a true positive would exhibit detectable fluorescence by a predictable number of cycles of PCR. Increases in fluorescence detected before or after that cycle would indicate potential artifacts. False negative results due to, for example, inhibition of DNA polymerase, may be detected by including within each PCR an inefficiently amplifying marker. This marker results in a fluorescence increase only after a large number of cycles—many more than are necessary to detect a true

positive. If a sample fails to have a fluorescence increase after this many cycles, inhibition may be suspected. Since, in this assay, conclusions are drawn based on the presence or absence of fluorescence signal alone, such controls may be important. In any event, before any test based on this principle is ready for the clinic, an assessment of its false positive/false negative rates will need to be obtained using a large number of known samples.

In summary, the inclusion in PCR of dyes whose fluorescence is enhanced upon binding dsDNA makes it possible to detect specific DNA amplification from outside the PCR tube. In the future, instruments based upon this principle may facilitate the more widespread use of PCR in applications that demand the high throughput of samples.

#### EXPERIMENTAL PROTOCOL

Human HLA-DQ $\alpha$  gene amplifications containing EtBr. PCRs were set up in 100  $\mu$ l volumes containing 10 mM Tris-HCl, pH 8.3; 50 mM KCl; 4 mM MgCl<sub>2</sub>; 2.5 units of *Taq* DNA polymerase (Perkin-Elmer Cetus, Norwalk, CT); 20 pmole each of human HLA-DQ $\alpha$  gene specific oligonucleotide primers (GH26 and GH27<sup>19</sup>) and approximately 10<sup>3</sup> copies of DQ $\alpha$  PCR product diluted from a previous reaction. Ethidium bromide (EtBr; Sigma) was used at the concentrations indicated in Figure 2. Thermocycling proceeded for 20 cycles in a model 480 thermocycler (Perkin-Elmer Cetus, Norwalk, CT) using a "step-cycle" program of 94°C for 1 min, denaturation and 60°C for 30 sec, annealing and 72°C for 30 sec, extension.

Y-chromosome specific PCR. PCRs (100  $\mu$ l total reaction volume) containing 0.5  $\mu$ g/ml EtBr were prepared as described for HLA-DQ $\alpha$ , except with different primers and target DNAs. These PCRs contained 15 pmole each male DNA-specific primers Y1.1 and Y1.2<sup>20</sup>, and either 50 ng male, 60 ng female, 2 ng male, or no human DNA. Thermocycling was 94°C for 1 min, and 60°C for 1 min using a "step-cycle" program. The number of cycles for a sample were as indicated in Figure 3. Fluorescence measurement is described below.

Allele-specific, human  $\beta$ -globin gene PCR. Amplifications of 100  $\mu$ l volume using 0.5  $\mu$ g/ml of EtBr were prepared as described for HLA-DQ $\alpha$  above except with different primers and target DNAs. These PCRs contained either primer pair HGP2/Hp14A (wild-type globin specific primers) or HGP2/Hp14S (sickle-globin specific primers) at 10 pmole each primer per PCR. These primers were developed by Wu et al.<sup>21</sup>. Three different target DNAs were used in separate amplifications—50 ng each of human DNA that was homozygous for the sickle trait (SS), DNA that was heterozygous for the sickle trait (AS), or DNA that was homozygous for the w.t. globin (AA). Thermocycling was for 30 cycles at 94°C for 1 min, and 55°C for 1 min, using a "step-cycle" program. An annealing temperature of 55°C had been shown by Wu et al.<sup>21</sup> to provide allele-specific amplification. Complicated PCRs were photographed through a red filter (Wratten 23A) after placing the reaction tubes atop a model TM-36 transilluminator (UV-products San Gabriel, CA).

Fluorescence measurement. Fluorescence measurements were made on PCRs containing EtBr in a Fluorolog-2 fluorometer (SPEX, Edison, NJ). Excitation was at the 500 nm band with about 2 nm bandwidth with a GG 435 nm cut-off filter (Melles Crist, Inc., Irvine, CA) to exclude second-order light. Emitted light was detected at 570 nm with a bandwidth of about 7 nm. An OG 530 nm cut-off filter was used to remove the excitation light.

Continuous fluorescence monitoring of PCR. Continuous monitoring of a PCR in progress was accomplished using the spectrofluorometer and settings described above, as well as a fiberoptic accessory (SPEX cat. no. 1950) to both send excitation light to, and receive emitted light from, a PCR placed in a well of a model 480 thermocycler (Perkin-Elmer Cetus). The probe end of the fiberoptic cable was attached with "5 minute-epoxy" to the open top of a PCR tube (a 0.5 ml polypropylene centrifuge tube with its cap removed) effectively sealing it. The exposed top of the PCR tube and the end of the fiberoptic cable were shielded from room light and the room lights were kept dimmed during each run. The monitored PCR was an amplification of Y-chromosome specific repeat sequences as described above, except using an annealing/extension temperature of 50°C. The reaction was covered with mineral oil (2 drops) to prevent evaporation. Thermocycling and fluorescence measurement were started simultaneously. A time-base scan with a 10 second integration time

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was used and the emission signal was ratioed to the excitation signal to control for changes in light-source intensity. Data were collected using the dm3000I, version 2.5 (SPEX) data system.

#### Acknowledgments

We thank Bob Jones for help with the spectrofluorometric measurements and Heatherhell Fong for editing this manuscript.

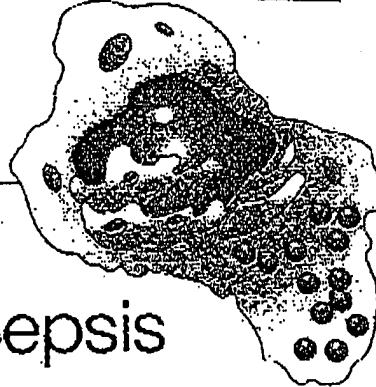
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# Oligonucleotides with Fluorescent Dyes at Opposite Ends Provide a Quenched Probe System Useful for Detecting PCR Product and Nucleic Acid Hybridization

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**The 5' nuclease PCR assay detects the accumulation of specific PCR product by hybridization and cleavage of a double-labeled fluorogenic probe during the amplification reaction. The probe is an oligonucleotide with both a reporter fluorescent dye and a quencher dye attached. An increase in reporter fluorescence intensity indicates that the probe has hybridized to the target PCR product and has been cleaved by the 5' → 3' nucleolytic activity of *Taq* DNA polymerase. In this study, probes with the quencher dye attached to an internal nucleotide were compared with probes with the quencher dye attached to the 3'-end nucleotide. In all cases, the reporter dye was attached to the 5' end. All intact probes showed quenching of the reporter fluorescence. In general, probes with the quencher dye attached to the 3'-end nucleotide exhibited a larger signal in the 5' nuclease PCR assay than the internally labeled probes. It is proposed that the larger signal is caused by increased likelihood of cleavage by *Taq* DNA polymerase when the probe is hybridized to a template strand during PCR. Probes with the quencher dye attached to the 3'-end nucleotide also exhibited an increase in reporter fluorescence intensity when hybridized to a complementary strand. Thus, oligonucleotides with reporter and quencher dyes attached at opposite ends can be used as homogeneous hybridization probes.**

**A** homogeneous assay for detecting the accumulation of specific PCR product that uses a double-labeled fluorogenic probe was described by Lee et al.<sup>(1)</sup> The assay exploits the 5' → 3' nucleolytic activity of *Taq* DNA polymerase<sup>(2,3)</sup> and is diagrammed in Figure 1. The fluorogenic probe consists of an oligonucleotide with a reporter fluorescent dye, such as a fluorescein, attached to the 5' end; and a quencher dye, such as a rhodamine, attached internally. When the fluorescein is excited by irradiation, its fluorescent emission will be quenched if the rhodamine is close enough to be excited through the process of fluorescence energy transfer (FET).<sup>(4,5)</sup> During PCR, if the probe is hybridized to a template strand, *Taq* DNA polymerase will cleave the probe because of its inherent 5' → 3' nucleolytic activity. If the cleavage occurs between the fluorescein and rhodamine dyes, it causes an increase in fluorescein fluorescence intensity because the fluorescein is no longer quenched. The increase in fluorescein fluorescence intensity indicates that the probe-specific PCR product has been generated. Thus, FET between a reporter dye and a quencher dye is critical to the performance of the probe in the 5' nuclease PCR assay.

Quenching is completely dependent on the physical proximity of the two dyes.<sup>(6)</sup> Because of this, it has been assumed that the quencher dye must be attached near the 5' end. Surprisingly, we have found that attaching a rhodamine dye at the 3' end of a probe still provides adequate quenching for the probe to perform in the 5' nuclease

PCR assay. Furthermore, cleavage of this type of probe is not required to achieve some reduction in quenching. Oligonucleotides with a reporter dye on the 5' end and a quencher dye on the 3' end exhibit a much higher reporter fluorescence when double-stranded as compared with single-stranded. This should make it possible to use this type of double-labeled probe for homogeneous detection of nucleic acid hybridization.

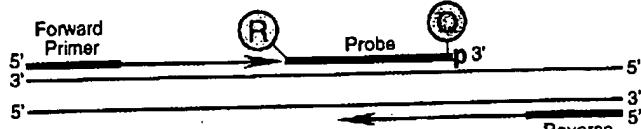
## MATERIALS AND METHODS

### Oligonucleotides

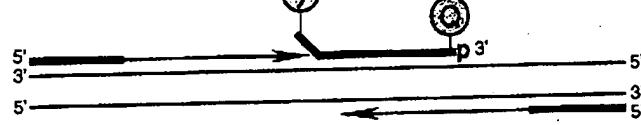
Table 1 shows the nucleotide sequence of the oligonucleotides used in this study. Linker arm nucleotide (LAN) phosphoramidite was obtained from Glen Research. The standard DNA phosphoramidites, 6-carboxyfluorescein (6-FAM) phosphoramidite, 6-carboxytetramethylrhodamine succinimidyl ester (TAMRA NHS ester), and Phosphalink for attaching a 3'-blocking phosphate, were obtained from Perkin-Elmer, Applied Biosystems Division. Oligonucleotide synthesis was performed using an ABI model 394 DNA synthesizer (Applied Biosystems). Primer and complement oligonucleotides were purified using Oligo Purification Cartridges (Applied Biosystems). Double-labeled probes were synthesized with 6-FAM-labeled phosphoramidite at the 5' end, LAN replacing one of the T's in the sequence, and Phosphalink at the 3' end. Following deprotection and ethanol precipitation, TAMRA NHS ester was coupled to the LAN-containing oligonucleotide in 250

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## Polymerization



## Strand displacement



## Cleavage



## Polymerization completed

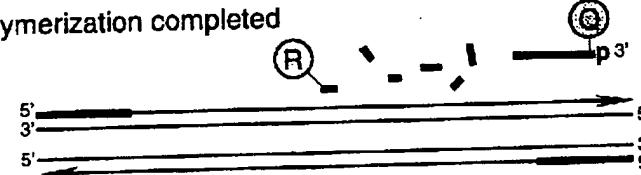


FIGURE 1 Diagram of 5' nuclease assay. Stepwise representation of the 5' → 3' nucleolytic activity of *Taq* DNA polymerase acting on a fluorogenic probe during one extension phase of PCR.

mm Na-bicarbonate buffer (pH 9.0) at room temperature. Unreacted dye was removed by passage over a PD-10 Sephadex column. Finally, the double-labeled probe was purified by preparative high-performance liquid chromatography (HPLC) using an Aquapore C<sub>8</sub> 220 × 4.6-mm column with 7-μm particle size. The column was developed with a 24-min linear gradient of 8–20% acetonitrile in 0.1 M TEAA (triethylamine acetate). Probes are named by designating the sequence from Table 1 and the position of the LAN-TAMRA moiety. For example, probe A1-7 has sequence A1 with LAN-TAMRA at nucleotide position 7 from the 5' end.

## PCR Systems

All PCR amplifications were performed in the Perkin-Elmer GeneAmp PCR System 9600 using 50-μl reactions that contained 10 mM Tris-HCl (pH 8.3), 50 mM KCl, 200 μM dATP, 200 μM dCTP, 200 μM dGTP, 400 μM dUTP, 0.5 unit of AmpErase uracil N-glycosylase (Perkin-Elmer), and 1.25 unit of AmpliTaq DNA polymerase (Perkin-Elmer). A 295-bp segment from exon 3 of the human β-actin

gene (nucleotides 2141–2435 in the sequence of Nakajima-Iijima et al.)<sup>(7)</sup> was amplified using primers AFP and ARP (Table 1), which are modified slightly from those of du Breuil et al.<sup>(8)</sup> Actin amplification reactions contained 4 mM MgCl<sub>2</sub>, 20 ng of human genomic DNA, 50 nM A1 or A3 probe, and 300 nM each

primer. The thermal regimen was 50°C (2 min), 95°C (10 min), 40 cycles of 95°C (20 sec), 60°C (1 min), and hold at 72°C. A 515-bp segment was amplified from a plasmid that consists of a segment of λ DNA (nucleotides 32,220–32,747) inserted in the *Sma*I site of vector pUC119. These reactions contained 3.5 mM MgCl<sub>2</sub>, 1 ng of plasmid DNA, 50 nM P2 or P5 probe, 200 nM primer F119, and 200 nM primer R119. The thermal regimen was 50°C (2 min), 95°C (10 min), 25 cycles of 95°C (20 sec), 57°C (1 min), and hold at 72°C.

## Fluorescence Detection

For each amplification reaction, a 40-μl aliquot of a sample was transferred to an individual well of a white, 96-well microtiter plate (Perkin-Elmer). Fluorescence was measured on the Perkin-Elmer Taq-Man LS-50B System, which consists of a luminescence spectrometer with plate reader assembly, a 485-nm excitation filter, and a 515-nm emission filter. Excitation was at 488 nm using a 5-nm slit width. Emission was measured at 518 nm for 6-FAM (the reporter or R value) and 582 nm for TAMRA (the quencher or Q value) using a 10-nm slit width. To determine the increase in reporter emission that is caused by cleavage of the probe during PCR, three normalizations are applied to the raw emission data. First, emission intensity of a buffer blank is subtracted for each wavelength. Second, emission intensity of the reporter is

TABLE 1 Sequences of Oligonucleotides

Name	Type	Sequence
F119	primer	ACCCACAGGAACGTGATCACCAC
R119	primer	ATGTCGCGTTCCGGCTGACGTTCTGC
P2	probe	TCCCATTAATGATCGTIGCCAACCA
P2C	complement	GATCGTTGGCAACGATCAGTAATGCCATG
P5	probe	CGGAATTGGCTGGTATCTATGACAAGGA
P5C	complement	TTCATCCTTGTCATAGATACCAGCAAATCCG
AFP	primer	TCACCCACACTGTGCCCATCTACGA
ARP	primer	CAGCGGAACCCGTCATTGCCAATGG
A1	probe	ATGCCCTCCCCATGCCATCCGGCTG
A1C	complement	AGACGCAGGATGGCATGGGGAGGGCATAC
A3	probe	CGCCCTGGACTTCGAGCAAGAGAT
A3C	complement	CCATCTTGTGCGAAGTCCAGGGCGAC

For each oligonucleotide used in this study, the nucleic acid sequence is given, written in the 5' → 3' direction. There are three types of oligonucleotides: PCR primer, fluorogenic probe used in the 5' nuclease assay, and complement used to hybridize to the corresponding probe. For the probes, the underlined base indicates a position where LAN with TAMRA attached was substituted for a T. (p) The presence of a 3' phosphate on each probe.

**A1-2** **RATGCCCTCCCCCATGCCATCCTGCGTp**  
**A1-7** **RATGCCQCCCCCATGCCATCCTGCGTp**  
**A1-14** **RATGCCCTCCCCCAQGCCATCCTGCGTp**  
**A1-19** **RATGCCCTCCCCATGCCAQCCTGCGTp**  
**A1-22** **RATGCCCTCCCCATGCCATCCQGCGTp**  
**A1-26** **RATGCCCTCCCCATGCCATCCTGCGQp**

Probe	518 nm		582 nm		RQ <sup>-</sup>	RQ <sup>+</sup>	ΔRQ
	no temp.	+ temp.	no temp.	+ temp.			
<b>A1-2</b>	25.5 ± 2.1	32.7 ± 1.9	38.2 ± 3.0	38.2 ± 2.0	0.67 ± 0.01	0.86 ± 0.06	0.19 ± 0.06
<b>A1-7</b>	53.5 ± 4.3	395.1 ± 21.4	108.5 ± 6.3	110.3 ± 5.3	0.49 ± 0.03	3.58 ± 0.17	3.09 ± 0.18
<b>A1-14</b>	127.0 ± 4.9	403.5 ± 19.1	108.7 ± 5.3	93.1 ± 6.3	1.16 ± 0.02	4.34 ± 0.15	3.18 ± 0.15
<b>A1-19</b>	187.5 ± 17.9	422.7 ± 7.7	70.3 ± 7.4	73.0 ± 2.8	2.67 ± 0.05	5.80 ± 0.15	3.13 ± 0.16
<b>A1-22</b>	224.6 ± 9.4	482.2 ± 43.6	100.0 ± 4.0	96.2 ± 9.6	2.25 ± 0.03	5.02 ± 0.11	2.77 ± 0.12
<b>A1-26</b>	160.2 ± 8.9	454.1 ± 18.4	93.1 ± 5.4	90.7 ± 3.2	1.72 ± 0.02	5.01 ± 0.08	3.29 ± 0.08

**FIGURE 2** Results of 5' nuclease assay comparing β-actin probes with TAMRA at different nucleotide positions. As described in Materials and Methods, PCR amplifications containing the indicated probes were performed, and the fluorescence emission was measured at 518 and 582 nm. Reported values are the average ± 1 s.d. for six reactions run without added template (no temp.) and six reactions run with template (+ temp.). The RQ ratio was calculated for each individual reaction and averaged to give the reported RQ<sup>-</sup> and RQ<sup>+</sup> values.

divided by the emission intensity of the quencher to give an RQ ratio for each reaction tube. This normalizes for well-to-well variations in probe concentration and fluorescence measurement. Finally, ΔRQ is calculated by subtracting the RQ value of the no-template control (RQ<sup>-</sup>) from the RQ value for the complete reaction including template (RQ<sup>+</sup>).

## RESULTS

A series of probes with increasing distances between the fluorescein reporter and rhodamine quencher were tested to investigate the minimum and maximum spacing that would give an acceptable performance in the 5' nuclease PCR assay. These probes hybridize to a target

sequence in the human β-actin gene. Figure 2 shows the results of an experiment in which these probes were included in PCR that amplified a segment of the β-actin gene containing the target sequence. Performance in the 5' nuclease PCR assay is monitored by the magnitude of ΔRQ, which is a measure of the increase in reporter fluorescence caused by PCR amplification of the probe target. Probe A1-2 has a ΔRQ value that is close to zero, indicating that the probe was not cleaved appreciably during the amplification reaction. This suggests that with the quencher dye on the second nucleotide from the 5' end, there is insufficient room for *Taq* polymerase to cleave efficiently between the reporter and quencher. The other five probes exhibited comparable ΔRQ values that are

clearly different from zero. Thus, all five probes are being cleaved during PCR amplification resulting in a similar increase in reporter fluorescence. It should be noted that complete digestion of a probe produces a much larger increase in reporter fluorescence than that observed in Figure 2 (data not shown). Thus, even in reactions where amplification occurs, the majority of probe molecules remain uncleaved. It is mainly for this reason that the fluorescence intensity of the quencher dye TAMRA changes little with amplification of the target. This is what allows us to use the 582-nm fluorescence reading as a normalization factor.

The magnitude of RQ<sup>-</sup> depends mainly on the quenching efficiency inherent in the specific structure of the probe and the purity of the oligonucleotide. Thus, the larger RQ<sup>-</sup> values indicate that probes A1-14, A1-19, A1-22, and A1-26 probably have reduced quenching as compared with A1-7. Still, the degree of quenching is sufficient to detect a highly significant increase in reporter fluorescence when each of these probes is cleaved during PCR.

To further investigate the ability of TAMRA on the 3' end to quench 6-FAM on the 5' end, three additional pairs of probes were tested in the 5' nuclease PCR assay. For each pair, one probe has TAMRA attached to an internal nucleotide and the other has TAMRA attached to the 3' end nucleotide. The results are shown in Table 2. For all three sets, the probe with the 3' quencher exhibits a ΔRQ value that is considerably higher than for the probe with the internal quencher. The RQ<sup>-</sup> values suggest that differences in quenching are not as great as those observed with some of the A1 probes. These results demonstrate that a quencher dye on the 3' end of an oligonucleotide can quench efficiently the

**TABLE 2** Results of 5' Nuclease Assay Comparing Probes with TAMRA Attached to an Internal or 3'-terminal Nucleotide

Probe	518 nm		582 nm		RQ <sup>-</sup>	RQ <sup>+</sup>	ΔRQ
	no temp.	+ temp.	no temp.	+ temp.			
<b>A3-6</b>	54.6 ± 3.2	84.8 ± 3.7	116.2 ± 6.4	115.6 ± 2.5	0.47 ± 0.02	0.73 ± 0.03	0.26 ± 0.04
<b>A3-24</b>	72.1 ± 2.9	236.5 ± 11.1	84.2 ± 4.0	90.2 ± 3.8	0.86 ± 0.02	2.62 ± 0.05	1.76 ± 0.05
<b>P2-7</b>	82.8 ± 4.4	384.0 ± 34.1	105.1 ± 6.4	120.4 ± 10.2	0.79 ± 0.02	3.19 ± 0.16	2.40 ± 0.16
<b>P2-27</b>	113.4 ± 6.6	555.4 ± 14.1	140.7 ± 8.5	118.7 ± 4.8	0.81 ± 0.01	4.68 ± 0.10	3.88 ± 0.10
<b>PS-10</b>	77.5 ± 6.5	244.4 ± 15.9	86.7 ± 4.3	95.8 ± 6.7	0.89 ± 0.05	2.55 ± 0.06	1.66 ± 0.08
<b>PS-28</b>	64.0 ± 5.2	333.6 ± 12.1	100.6 ± 6.1	94.7 ± 6.3	0.63 ± 0.02	3.53 ± 0.12	2.89 ± 0.13

Reactions containing the indicated probes and calculations were performed as described in Material and Methods and in the legend to Fig. 2.

# Research

fluorescence of a reporter dye on the 5' end. The degree of quenching is sufficient for this type of oligonucleotide to be used as a probe in the 5' nuclease PCR assay.

To test the hypothesis that quenching by a 3' TAMRA depends on the flexibility of the oligonucleotide, fluorescence was measured for probes in the single-stranded and double-stranded states. Table 3 reports the fluorescence observed at 518 and 582 nm. The relative degree of quenching is assessed by calculating the RQ ratio. For probes with TAMRA 6-10 nucleotides from the 5' end, there is little difference in the RQ values when comparing single-stranded with double-stranded oligonucleotides. The results for probes with TAMRA at the 3' end are much different. For these probes, hybridization to a complementary strand causes a dramatic increase in RQ. We propose that this loss of quenching is caused by the rigid structure of double-stranded DNA, which prevents the 5' and 3' ends from being in proximity.

When TAMRA is placed toward the 3' end, there is a marked  $Mg^{2+}$  effect on quenching. Figure 3 shows a plot of observed RQ values for the A1 series of probes as a function of  $Mg^{2+}$  concentration. With TAMRA attached near the 5' end (probe A1-2 or A1-7), the RQ value at 0 mM  $Mg^{2+}$  is only slightly higher than RQ at 10 mM  $Mg^{2+}$ . For probes A1-19, A1-22, and A1-26, the RQ values at 0 mM  $Mg^{2+}$  are very high, indicating a much

reduced quenching efficiency. For each of these probes, there is a marked decrease in RQ at 1 mM  $Mg^{2+}$  followed by a gradual decline as the  $Mg^{2+}$  concentration increases to 10 mM. Probe A1-14 shows an intermediate RQ value at 0 mM  $Mg^{2+}$  with a gradual decline at higher  $Mg^{2+}$  concentrations. In a low-salt environment with no  $Mg^{2+}$  present, a single-stranded oligonucleotide would be expected to adopt an extended conformation because of electrostatic repulsion. The binding of  $Mg^{2+}$  ions acts to shield the negative charge of the phosphate backbone so that the oligonucleotide can adopt conformations where the 3' end is close to the 5' end. Therefore, the observed  $Mg^{2+}$  effects support the notion that quenching of a 5' reporter dye by TAMRA at or near the 3' end depends on the flexibility of the oligonucleotide.

## DISCUSSION

The striking finding of this study is that it seems the rhodamine dye TAMRA, placed at any position in an oligonucleotide, can quench the fluorescent emission of a fluorescein (6-FAM) placed at the 5' end. This implies that a single-stranded, double-labeled oligonucleotide must be able to adopt conformations where the TAMRA is close to the 5' end. It should be noted that the decay of 6-FAM in the excited state requires a certain amount of time. Therefore, what

matters for quenching is not the average distance between 6-FAM and TAMRA but, rather, how close TAMRA can get to 6-FAM during the lifetime of the 6-FAM excited state. As long as the decay time of the excited state is relatively long compared with the molecular motions of the oligonucleotide, quenching can occur. Thus, we propose that TAMRA at the 3' end, or any other position, can quench 6-FAM at the 5' end because TAMRA is in proximity to 6-FAM often enough to be able to accept energy transfer from an excited 6-FAM.

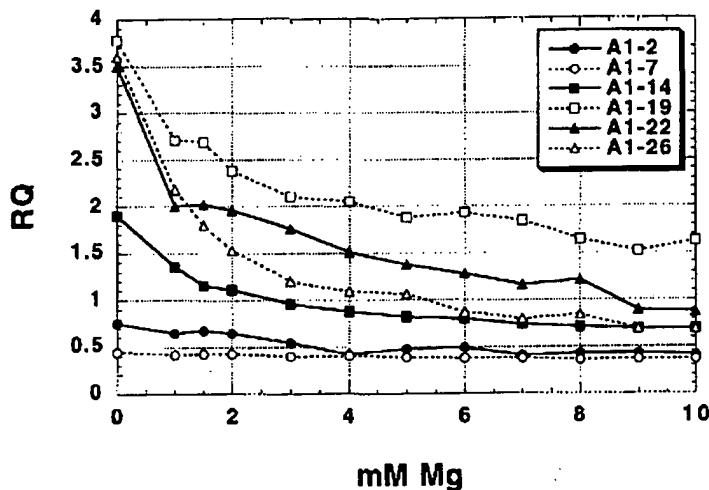
Details of the fluorescence measurements remain puzzling. For example, Table 3 shows that hybridization of probes A1-26, A3-24, and P5-28 to their complementary strands not only causes a large increase in 6-FAM fluorescence at 518 nm but also causes a modest increase in TAMRA fluorescence at 582 nm. If TAMRA is being excited by energy transfer from quenched 6-FAM, then loss of quenching attributable to hybridization should cause a decrease in the fluorescence emission of TAMRA. The fact that the fluorescence emission of TAMRA increases indicates that the situation is more complex. For example, we have anecdotal evidence that the bases of the oligonucleotide, especially G, quench the fluorescence of both 6-FAM and TAMRA to some degree. When double-stranded, base-pairing may reduce the ability of the bases to quench. The primary factor causing the quenching of 6-FAM in an intact probe is the TAMRA dye. Evidence for the importance of TAMRA is that 6-FAM fluorescence remains relatively unchanged when probes labeled only with 6-FAM are used in the 5' nuclease PCR assay (data not shown). Secondary effectors of fluorescence, both before and after cleavage of the probe, need to be explored further.

Regardless of the physical mechanism, the relative independence of position and quenching greatly simplifies the design of probes for the 5' nuclease PCR assay. There are three main factors that determine the performance of a double-labeled fluorescent probe in the 5' nuclease PCR assay. The first factor is the degree of quenching observed in the intact probe. This is characterized by the value of  $RQ^-$ , which is the ratio of reporter to quencher fluorescent emissions for a no template control PCR. Influences on the value of  $RQ^-$  include the particular reporter and quencher

TABLE 3 Comparison of Fluorescence Emissions of Single-stranded and Double-stranded Fluorogenic Probes

Probe	518 nm		582 nm		RQ	
	ss	ds	ss	ds	ss	ds
A1-7	27.75	68.53	61.08	138.18	0.45	0.50
A1-26	43.31	509.38	53.50	93.86	0.81	5.43
A3-6	16.75	62.88	39.33	165.57	0.43	0.38
A3-24	30.05	578.64	67.72	140.25	0.45	3.21
P2-7	35.02	70.13	54.63	121.09	0.64	0.58
P2-27	39.89	320.47	65.10	61.13	0.61	5.25
P5-10	27.34	144.85	61.95	165.54	0.44	0.87
P5-28	33.65	462.29	72.39	104.61	0.46	4.43

(ss) Single-stranded. The fluorescence emissions at 518 or 582 nm for solutions containing a final concentration of 50 nM indicated probe, 10 mM Tris-HCl (pH 8.3), 50 mM KCl, and 10 mM  $MgCl_2$ . (ds) Double-stranded. The solutions contained, in addition, 100 nM A1C for probes A1-7 and A1-26, 100 nM A3C for probes A3-6 and A3-24, 100 nM P2C for probes P2-7 and P2-27, or 100 nM PSC for probes P5-10 and P5-28. Before the addition of  $MgCl_2$ , 120  $\mu$ l of each sample was heated at 95°C for 5 min. Following the addition of 80  $\mu$ l of 25 mM  $MgCl_2$ , each sample was allowed to cool to room temperature and the fluorescence emissions were measured. Reported values are the average of three determinations.



**FIGURE 3** Effect of  $Mg^{2+}$  concentration on RQ ratio for the A1 series of probes. The fluorescence emission intensity at 518 and 582 nm was measured for solutions containing 50 nM probe, 10 mM Tris-HCl (pH 8.3), 50 mM KCl, and varying amounts (0–10 mM) of  $MgCl_2$ . The calculated RQ ratios (518 nm intensity divided by 582 nm intensity) are plotted vs.  $MgCl_2$  concentration (mM Mg). The key (upper right) shows the probes examined.

dyes used, spacing between reporter and quencher dyes, nucleotide sequence context effects, presence of structure or other factors that reduce flexibility of the oligonucleotide, and purity of the probe. The second factor is the efficiency of hybridization, which depends on probe  $T_m$ , presence of secondary structure in probe or template, annealing temperature, and other reaction conditions. The third factor is the efficiency at which *Taq* DNA polymerase cleaves the bound probe between the reporter and quencher dyes. This cleavage is dependent on sequence complementarity between probe and template as shown by the observation that mismatches in the segment between reporter and quencher dyes drastically reduce the cleavage of probe.<sup>11</sup>

The rise in RQ<sup>–</sup> values for the A1 series of probes seems to indicate that the degree of quenching is reduced somewhat as the quencher is placed toward the 3' end. The lowest apparent quenching is observed for probe A1-19 (see Fig. 3) rather than for the probe where the TAMRA is at the 3' end (A1-26). This is understandable, as the conformation of the 3' end position would be expected to be less restricted than the conformation of an internal position. In effect, a quencher at the 3' end is freer to adopt conformations close to the 5' reporter dye than is an internally placed quencher. For the other three sets of

probes, the interpretation of RQ<sup>–</sup> values is less clear-cut. The A3 probes show the same trend as A1, with the 3' TAMRA probe having a larger RQ<sup>–</sup> than the internal TAMRA probe. For the P2 pair, both probes have about the same RQ<sup>–</sup> value. For the P5 probes, the RQ<sup>–</sup> for the 3' probe is less than for the internally labeled probe. Another factor that may explain some of the observed variation is that purity affects the RQ<sup>–</sup> value. Although all probes are HPLC purified, a small amount of contamination with unquenched reporter can have a large effect on RQ<sup>–</sup>.

Although there may be a modest effect on degree of quenching, the position of the quencher apparently can have a large effect on the efficiency of probe cleavage. The most drastic effect is observed with probe A1-2, where placement of the TAMRA on the second nucleotide reduces the efficiency of cleavage to almost zero. For the A3, P2, and P5 probes,  $\Delta RQ$  is much greater for the 3' TAMRA probes as compared with the internal TAMRA probes. This is explained most easily by assuming that probes with TAMRA at the 3' end are more likely to be cleaved between reporter and quencher than are probes with TAMRA attached internally. For the A1 probes, the cleavage efficiency of probe A1-7 must already be quite high, as  $\Delta RQ$  does not increase when the quencher is placed closer to the 3' end. This illus-

trates the importance of being able to use probes with a quencher on the 3' end in the 5' nuclease PCR assay. In this assay, an increase in the intensity of reporter fluorescence is observed only when the probe is cleaved between the reporter and quencher dyes. By placing the reporter and quencher dyes on the opposite ends of an oligonucleotide probe, any cleavage that occurs will be detected. When the quencher is attached to an internal nucleotide, sometimes the probe works well (A1-7) and other times not so well (A3-6). The relatively poor performance of probe A3-6 presumably means the probe is being cleaved 3' to the quencher rather than between the reporter and quencher. Therefore, the best chance of having a probe that reliably detects accumulation of PCR product in the 5' nuclease PCR assay is to use a probe with the reporter and quencher dyes on opposite ends.

Placing the quencher dye on the 3' end may also provide a slight benefit in terms of hybridization efficiency. The presence of a quencher attached to an internal nucleotide might be expected to disrupt base-pairing and reduce the  $T_m$  of a probe. In fact, a 2°C–3°C reduction in  $T_m$  has been observed for two probes with internally attached TAMRAs.<sup>12</sup> This disruptive effect would be minimized by placing the quencher at the 3' end. Thus, probes with 3' quenchers might exhibit slightly higher hybridization efficiencies than probes with internal quenchers.

The combination of increased cleavage and hybridization efficiencies means that probes with 3' quenchers probably will be more tolerant of mismatches between probe and target as compared with internally labeled probes. This tolerance of mismatches can be advantageous, as when trying to use a single probe to detect PCR-amplified products from samples of different species. Also, it means that cleavage of probe during PCR is less sensitive to alterations in annealing temperature or other reaction conditions. The one application where tolerance of mismatches may be a disadvantage is for allelic discrimination. Lee et al.<sup>13</sup> demonstrated that allele-specific probes were cleaved between reporter and quencher only when hybridized to a perfectly complementary target. This allowed them to distinguish the normal human cystic fibrosis allele from the ΔF508 mutant. Their probes had TAMRA attached to the seventh nucleotide from

# Research

the 5' end and were designed so that any mismatches were between the reporter and quencher. Increasing the distance between reporter and quencher would lessen the disruptive effect of mismatches and allow cleavage of the probe on the incorrect target. Thus, probes with a quencher attached to an internal nucleotide may still be useful for allelic discrimination.

In this study loss of quenching upon hybridization was used to show that quenching by a 3' TAMRA is dependent on the flexibility of a single-stranded oligonucleotide. The increase in reporter fluorescence intensity, though, could also be used to determine whether hybridization has occurred or not. Thus, oligonucleotides with reporter and quencher dyes attached at opposite ends should also be useful as hybridization probes. The ability to detect hybridization in real time means that these probes could be used to measure hybridization kinetics. Also, this type of probe could be used to develop homogeneous hybridization assays for diagnostics or other applications. Bagwell et al.<sup>(10)</sup> describe just this type of homogeneous assay where hybridization of a probe causes an increase in fluorescence caused by a loss of quenching. However, they utilized a complex probe design that requires adding nucleotides to both ends of the probe sequence to form two imperfect hairpins. The results presented here demonstrate that the simple addition of a reporter dye to one end of an oligonucleotide and a quencher dye to the other end generates a fluorogenic probe that can detect hybridization or PCR amplification.

## ACKNOWLEDGMENTS

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## GENOMIC METHODS

## Real Time Quantitative PCR

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We have developed a novel "real time" quantitative PCR method. The method measures PCR product accumulation through a dual-labeled fluorogenic probe (i.e., TaqMan Probe). This method provides very accurate and reproducible quantitation of gene copies. Unlike other quantitative PCR methods, real-time PCR does not require post-PCR sample handling, preventing potential PCR product carry-over contamination and resulting in much faster and higher throughput assays. The real-time PCR method has a very large dynamic range of starting target molecule determination (at least five orders of magnitude). Real-time quantitative PCR is extremely accurate and less labor-intensive than current quantitative PCR methods.

Quantitative nucleic acid sequence analysis has had an important role in many fields of biological research. Measurement of gene expression (RNA) has been used extensively in monitoring biological responses to various stimuli (Lan et al. 1994; Huang et al. 1995a,b); Prud'homme et al. 1995). Quantitative gene analysis (DNA) has been used to determine the genomic quantity of a particular gene, as in the case of the human *HER2* gene, which is amplified in ~30% of breast tumors (Slamon et al. 1987). Gene and genome quantitation (DNA and RNA) also have been used for analysis of human immunodeficiency virus (HIV) burden demonstrating changes in the levels of virus throughout the different phases of the disease (Connor et al. 1993; Platak et al. 1993b; Jurtado et al. 1995).

Many methods have been described for the quantitative analysis of nucleic acid sequences (both for RNA and DNA; Southern 1975; Sharp et al. 1980; Thomas 1980). Recently, PCR has proven to be a powerful tool for quantitative nucleic acid analysis. PCR and reverse transcriptase (RT)-PCR have permitted the analysis of minimal starting quantities of nucleic acid (as little as one cell equivalent). This has made possible many experiments that could not have been performed with traditional methods. Although PCR has provided a powerful tool, it is imperative

that it be used properly for quantitation (Raaymakers 1995). Many early reports of quantitative PCR and RT-PCR described quantitation of the PCR product but did not measure the initial target sequence quantity. It is essential to design proper controls for the quantitation of the initial target sequences (Perre 1992; Clementi et al. 1993).

Researchers have developed several methods of quantitative PCR and RT-PCR. One approach measures PCR product quantity in the log phase of the reaction before the plateau (Kellogg et al. 1990; Pang et al. 1990). This method requires that each sample has equal input amounts of nucleic acid and that each sample under analysis amplifies with identical efficiency up to the point of quantitative analysis. A gene sequence (contained in all samples at relatively constant quantities, such as  $\beta$ -actin) can be used for sample amplification efficiency normalization. Using conventional methods of PCR detection and quantitation (gel electrophoresis or plate capture hybridization), it is extremely laborious to assure that all samples are analyzed during the log phase of the reaction (for both the target gene and the normalization gene). Another method, quantitative competitive (QC)-PCR, has been developed and is used widely for PCR quantitation. QC-PCR relies on the inclusion of an internal control competitor in each reaction (Becker-Andre 1991; Platak et al. 1993a,b). The efficiency of each reaction is normalized to the internal competitor. A known amount of internal competitor can be

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added to each sample. To obtain relative quantitation, the unknown target PCR product is compared with the known competitor PCR product. Success of a quantitative competitive PCR assay relies on developing an internal control that amplifies with the same efficiency as the target molecule. The design of the competitor and the validation of amplification efficiencies require a dedicated effort. However, because QPCR does not require that PCR products be analyzed during the log phase of the amplification, it is the easier of the two methods to use.

Several detection systems are used for quantitative PCR and RT-PCR analysis: (1) agarose gels, (2) fluorescent labeling of PCR products and detection with laser-induced fluorescence using capillary electrophoresis (Fusco et al. 1995; Williams et al. 1996) or acrylamide gels, and (3) plate capture and sandwich probe hybridization (Mulder et al. 1994). Although these methods proved successful, each method requires post-PCR manipulations that add time to the analysis and may lead to laboratory contamination. The sample throughput of these methods is limited (with the exception of the plate capture approach), and, therefore, these methods are not well suited for uses demanding high sample throughput (i.e., screening of large numbers of biomolecules or analyzing samples for diagnostics or clinical trials).

Here we report the development of a novel assay for quantitative DNA analysis. The assay is based on the use of the 5' nuclease assay first described by Holland et al. (1991). The method uses the 5' nuclease activity of *Taq* polymerase to cleave a nonextendible hybridization probe during the extension phase of PCR. The approach uses dual-labeled fluorogenic hybridization probes (Lee et al. 1993; Bussler et al. 1995; Livak et al. 1995a,b). One fluorescent dye serves as a reporter (FAM (i.e., 6-carboxyfluorescein)) and its emission spectra is quenched by the second fluorescent dye, TAMRA (i.e., 6-carboxy-tetramethyl-rhodamine). The nuclease degradation of the hybridization probe releases the quenching of the FAM fluorescent emission, resulting in an increase in peak fluorescent emission at 518 nm. The use of a sequence detector (ABI Prism) allows measurement of fluorescent spectra of all 96 wells of the thermal cycler continuously during the PCR amplification. Therefore, the reactions are monitored in real time. The output data is described and quantitative analysis of input target DNA sequences is discussed below.

## RESULTS

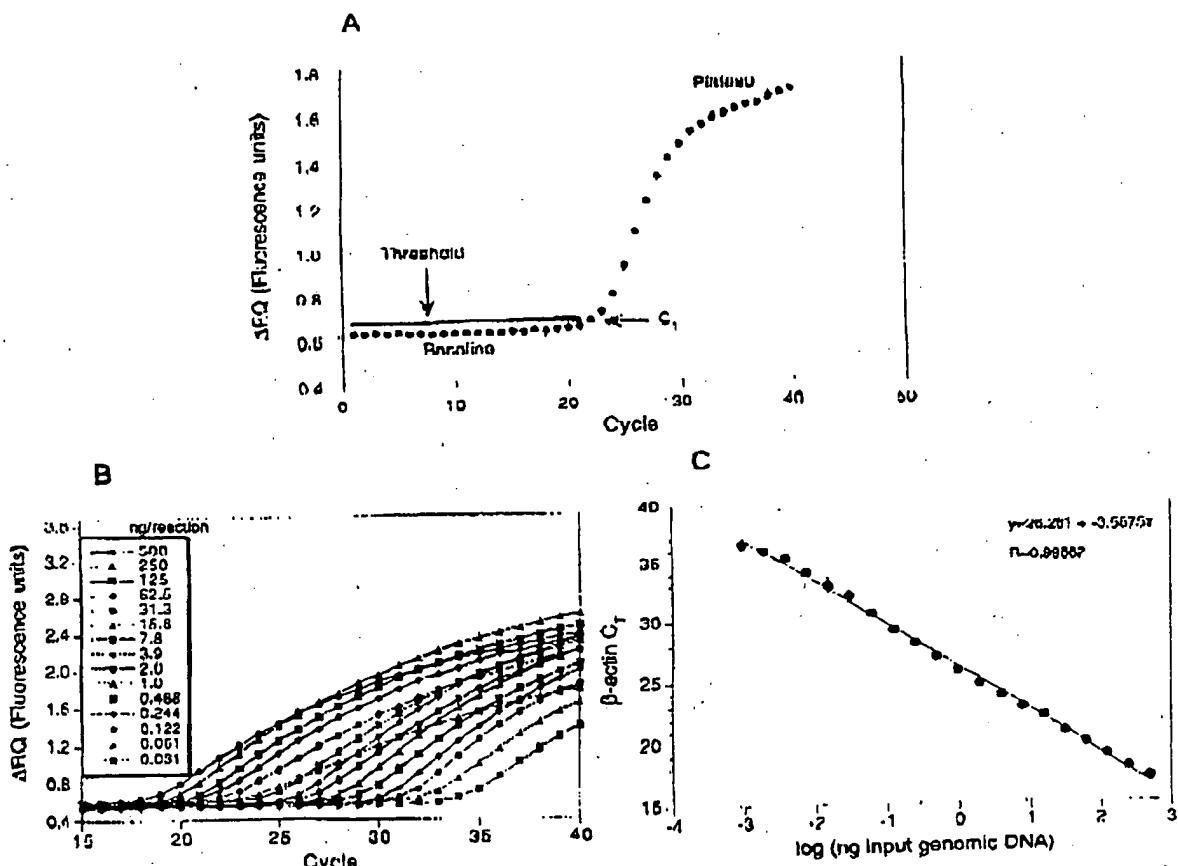
## PCR Product Detection in Real Time

The goal was to develop a high-throughput, sensitive, and accurate gene quantitation assay for use in monitoring lipid mediated therapeutic gene delivery. A plasmid encoding human factor VIII gene sequence, pI8TM (see Methods), was used as a model therapeutic gene. The assay uses fluorescent Taqman methodology and an instrument capable of measuring fluorescence in real time (ABI Prism 7700 Sequence Detector). The Taqman reaction requires a hybridization probe labeled with two different fluorescent dyes. One dye is a reporter dye (FAM), the other is a quenching dye (TAMRA). When the probe is intact, fluorescent energy transfer occurs and the reporter dye fluorescent emission is absorbed by the quenching dye (TAMRA). During the extension phase of the PCR cycle, the fluorescent hybridization probe is cleaved by the 5'-3' nucleolytic activity of the DNA polymerase. On cleavage of the probe, the reporter dye emission is no longer transferred efficiently to the quenching dye, resulting in an increase of the reporter dye fluorescent emission spectra. PCR primers and probes were designed for the human factor VIII sequence and human  $\beta$ -actin gene (as described in Methods). Optimization reactions were performed to choose the appropriate probe and magnesium concentrations yielding the highest intensity of reporter fluorescent signal without sacrificing specificity. The instrument uses a charge-coupled device (i.e., CCD camera) for measuring the fluorescent emission spectra from 500 to 650 nm. Each PCR tube was monitored sequentially for 25 msec with continuous monitoring throughout the amplification. Each tube was re-examined every 8.5 sec. Computer software was designed to examine the fluorescent intensity of both the reporter dye (FAM) and the quenching dye (TAMRA). The fluorescent intensity of the quenching dye, TAMRA, changes very little over the course of the PCR amplification (data not shown). Therefore, the intensity of TAMRA dye emission serves as an internal standard with which to normalize the reporter dye (FAM) emission variations. The software calculates a value termed  $\Delta Rn$  (or  $\Delta RQ$ ) using the following equation:  $\Delta Rn = (Rn^1 - Rn^0) / (Rn^0)$ , where  $Rn^1$  = emission intensity of reporter/emission intensity of quencher at any given time in a reaction tube, and  $Rn^0$  = emission intensity of re-

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porter/emission intensity of quencher measured prior to PCR amplification in that same reaction tube. For the purpose of quantitation, the last three data points ( $\Delta R_{ns}$ ) collected during the extension step for each PCR cycle were analyzed. The nucleolytic degradation of the hybridization probe occurs during the extension phase of PCR, and, therefore, reporter fluorescent emission increases during this time. The three data points were averaged for each PCR cycle and the mean value for each was plotted in an "amplification plot" shown in Figure 1A. The  $\Delta R_n$  mean value is plotted on the y-axis, and time, represented by cycle number, is plotted on the x-axis. During the early cycles of the PCR amplification, the  $\Delta R_n$

value remains at base line. When sufficient hybridization probe has been cleaved by the  $Taq$  polymerase nuclease activity, the intensity of reporter fluorescent emission increases. Most PCR amplifications reach a plateau phase of reporter fluorescent emission if the reaction is carried out to high cycle numbers. The amplification plot is examined early in the reaction, at a point that represents the log phase of product accumulation. This is done by assigning an arbitrary threshold that is based on the variability of the base-line data. In Figure 1A, the threshold was set at 10 standard deviations above the mean of base line emission calculated from cycles 1 to 15. Once the threshold is chosen, the point at which



**Figure 1** PCR product detection in real time. (A) The Model 7700 software will construct amplification plots from the extension phase fluorescent emission data collected during the PCR amplification. The standard deviation is determined from the data points collected from the base line of the amplification plot.  $C_1$  values are calculated by determining the point at which the fluorescence exceeds a threshold limit (usually 10 times the standard deviation of the base line). (B) Overlay of amplification plots of serially (1:2) diluted human genomic DNA samples amplified with  $\beta$ -actin primers. (C) Input DNA concentration of the samples plotted versus  $C_1$ . All DNA samples amplified with  $\beta$ -actin primers.

the amplification plot crosses the threshold is defined as  $C_T$ .  $C_T$  is reported as the cycle number at this point. As will be demonstrated, the  $C_T$  value is predictive of the quantity of input target.

#### $C_T$ Values Provide a Quantitative Measurement of Input Target Sequences

Figure 1B shows amplification plots of 15 different PCR amplifications overlaid. The amplifications were performed on a 1:2 serial dilution of human genomic DNA. The amplified target was human  $\beta$  actin. The amplification plots shift to the right (to higher threshold cycles) as the input target quantity is reduced. This is expected because reactions with fewer starting copies of the target molecule require greater amplification to degrade enough probe to attain the threshold fluorescence. An arbitrary threshold of 10 standard deviations above the base line was used to determine the  $C_T$  values. Figure 1C represents the  $C_T$  values plotted versus the sample dilution value. Each dilution was amplified in triplicate PCR amplifications and plotted as mean values with error bars representing one standard deviation. The  $C_T$  values decrease linearly with increasing target quantity. Thus,  $C_T$  values can be used as a quantitative measurement of the input target number. It should be noted that the amplification plot for the 15.6-ng sample shown in Figure 1B does not reflect the same fluorescent rate of increase exhibited by most of the other samples. The 15.6-ng sample also achieves endpoint plateau at a lower fluorescent value than would be expected based on the input DNA. This phenomenon has been observed occasionally with other samples (data not shown) and may be attributable to late cycle inhibition; this hypothesis is still under investigation. It is important to note that the flattened slope and early plateau do not impact significantly the calculated  $C_T$  value as demonstrated by the fit on the line shown in Figure 1C. All triplicate amplifications resulted in very similar  $C_T$  values—the standard deviation did not exceed 0.5 for any dilution. This experiment contains a >100,000-fold range of input target molecules. Using  $C_T$  values for quantitation permits a much larger assay range than directly using total fluorescent emission intensity for quantitation. The linear range of fluorescent intensity measurement of the ABI Prism 7700 Se-

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ments over a very large range of relative starting target quantities.

#### Sample Preparation Validation

Several parameters influence the efficiency of PCR amplification: magnesium and salt concentrations, reaction conditions (i.e., time and temperature), PCR target size and composition, primer sequences, and sample purity. All of the above factors are common to a single PCR assay, except sample to sample purity. In an effort to validate the method of sample preparation for the factor VIII assay, PCR amplification reproducibility and efficiency of 10 replicate sample preparations were examined. After genomic DNA was prepared from the 10 replicate samples, the DNA was quantitated by ultraviolet spectroscopy. Amplifications were performed analyzing  $\beta$ -actin gene content in 100 and 25 ng of total genomic DNA. Each PCR amplification was performed in triplicate. Comparison of  $C_T$  values for each triplicate sample show minimal variation based on standard deviation and coefficient of variance (Table 1). Therefore, each of the triplicate PCR amplifications was highly reproducible, demonstrating that real time PCR using this instrumentation introduces minimal variation into the quantitative PCR analysis. Comparison of the mean  $C_T$  values of the 10 replicate sample preparations also showed minimal variability, indicating that each sample preparation yielded similar results for  $\beta$ -actin gene quantity. The highest  $C_T$  difference between any of the samples was 0.85 and 0.71 for the 100 and 25 ng samples, respectively. Additionally, the amplification of each sample exhibited an equivalent rate of fluorescent emission intensity change per amount of DNA target analyzed as indicated by similar slopes derived from the sample dilutions (Fig. 2). Any sample containing an excess of a PCR inhibitor would exhibit a greater measured  $\beta$ -actin  $C_T$  value for a given quantity of DNA. In addition, the inhibitor would be diluted along with the sample in the dilution analysis (Fig. 2), altering the expected  $C_T$  value change. Each sample amplification yielded a similar result in the analysis, demonstrating that this method of sample preparation is highly reproducible with regard to sample purity.

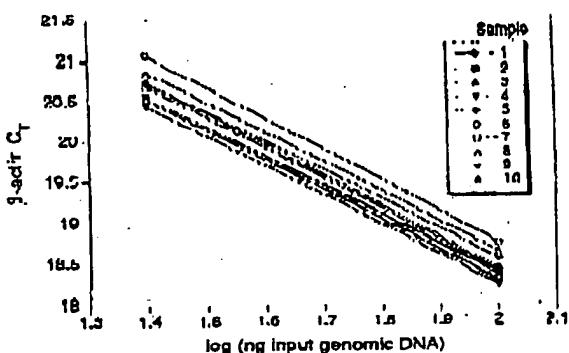
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Table 1. Reproducibility of Sample Preparation Method

Sample no.	C <sub>T</sub>	100 ng			25 ng		
		mean	standard deviation	CV	mean	standard deviation	CV
1	18.24				20.48		
	18.23				20.55		
	18.33	18.27	0.06	0.32	20.5	20.51	0.03
2	18.33				20.61		
	18.35				20.59		
	18.44	18.37	0.06	0.32	20.41	20.54	0.11
3	18.3				20.54		
	18.3				20.6		
	18.42	18.34	0.07	0.36	20.49	20.54	0.06
4	18.15				20.48		
	18.23				20.44		
	18.32	18.23	0.08	0.46	20.38	20.43	0.05
5	18.4				20.68		
	18.38				20.87		
	18.46	18.42	0.04	0.23	20.63	20.71	0.13
6	18.54				21.09		
	18.67				21.04		
	19	18.71	0.21	1.26	21.01	21.06	0.03
7	18.28				20.67		
	18.36				20.73		
	18.52	18.39	0.12	0.66	20.65	20.68	0.04
8	18.45				20.98		
	18.7				20.84		
	18.73	18.63	0.16	0.83	20.75	20.86	0.12
9	18.18				20.46		
	18.34				20.54		
	18.36	18.29	0.1	0.55	20.48	20.51	0.07
10	18.42				20.79		
	18.57				20.78		
	18.66	18.55	0.12	0.65	20.62	20.73	0.1
Mean	(1-10)	18.12	0.17	0.90	20.66	0.19	0.91

tor containing a partial cDNA for human factor VIII, pF8TM. A series of transfections was set up using a decreasing amount of the plasmid (40, 4, 0.5, and 0.1  $\mu$ g). Twenty-four hours post-transfection, total DNA was purified from each flask of cells.  $\beta$ -actin gene quantity was chosen as a value for normalization of genomic DNA concentration from each sample. In this experiment,  $\beta$ -actin gene content should remain constant relative to total genomic DNA. Figure 3 shows the result of the  $\beta$ -actin DNA measurement (100 ng total DNA determined by ultraviolet spectroscopy) of each sample. Each sample was analyzed in triplicate and the mean  $\beta$ -actin C<sub>T</sub> values of the triplicates were plotted (error bars represent one standard deviation). The highest difference

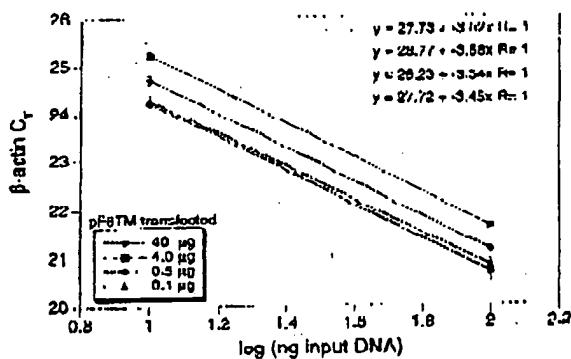
between any two sample means was 0.95 C<sub>T</sub>. Ten nanograms of total DNA of each sample were also examined for  $\beta$ -actin. The results again showed that very similar amounts of genomic DNA were present; the maximum mean  $\beta$  actin C<sub>T</sub> value difference was 1.0. As Figure 3 shows, the rate of  $\beta$ -actin C<sub>T</sub> change between the 100 and 10- $\mu$ g samples was similar (slope values range between 3.56 and -3.45). This verifies again that the method of sample preparation yields samples of identical PCR integrity (i.e., no sample contained an excessive amount of a PCR inhibitor). However, these results indicate that each sample contained slight differences in the actual amount of genomic DNA analyzed. Determination of actual genomic DNA concentration was accomplished



**Figure 2** Sample preparation purity. The replicate samples shown in Table 1 were also amplified in triplicate using 25 ng of each DNA sample. The figure shows the input DNA concentration (100 and 25 ng) vs.  $C_t$ . In the figure, the 100 and 25 ng points for each sample are connected by a line.

by plotting the mean  $\beta$ -actin  $C_t$  value obtained for each 100 ng sample on a  $\beta$ -actin standard curve (shown in Fig. 4C). The actual genomic DNA concentration of each sample,  $a$ , was obtained by extrapolation to the  $x$ -axis.

Figure 4A shows the measured (i.e., non-normalized) quantities of factor VIII plasmid DNA (pF8TM) from each of the four transient cell transfections. Each reaction contained 100 ng of total sample DNA (as determined by UV spectroscopy). Each sample was analyzed in triplicate



**Figure 3** Analysis of transfected cell DNA quantity and purity. The DNA preparations of the four 293 cell transfections (40, 4, 0.5, and 0.1  $\mu$ g of pF8TM) were analyzed for the  $\beta$ -actin gene. 100 and 10 ng (determined by ultraviolet spectroscopy) of each sample were amplified in triplicate. For each amount of pF8TM that was transfected, the  $\beta$ -actin  $C_t$  values are plotted versus the total input DNA concentration.

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PCR amplifications. As shown, pF8TM purified from the 293 cells decreases (mean  $C_t$  values increase) with decreasing amounts of plasmid transfected. The mean  $C_t$  values obtained for pF8TM in Figure 4A were plotted on a standard curve comprised of serially diluted pF8TM, shown in Figure 4B. The quantity of pF8TM,  $b$ , found in each of the four transfections was determined by extrapolation to the  $x$  axis of the standard curve in Figure 4B. These uncorrected values,  $b$ , for pF8TM were normalized to determine the actual amount of pF8TM found per 100 ng of genomic DNA by using the equation:

$$\frac{b \times 100 \text{ ng}}{a} = \frac{\text{actual pF8TM copies per}}{\text{100 ng of genomic DNA}}$$

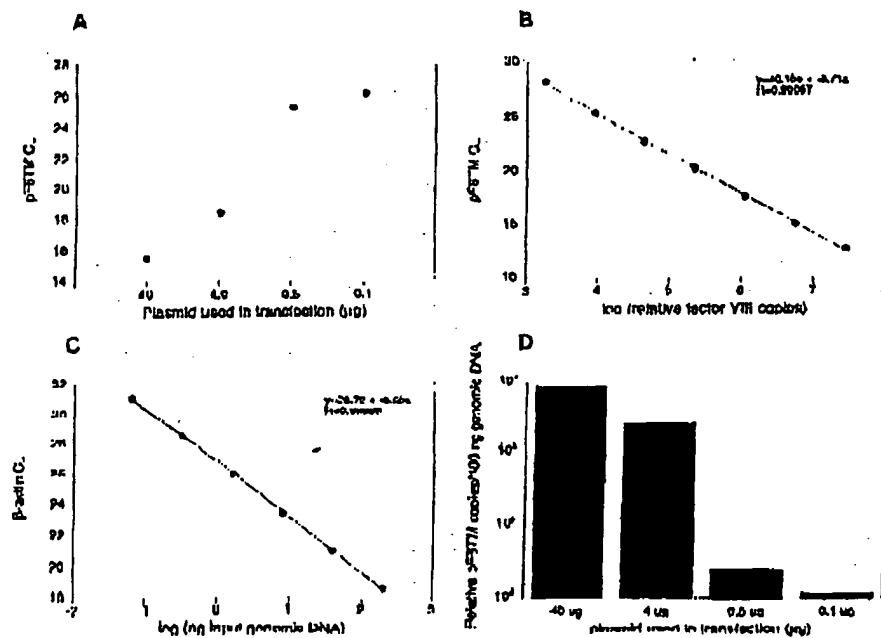
where  $a$  = actual genomic DNA in a sample and  $b$  = pF8TM copies from the standard curve. The normalized quantity of pF8TM per 100 ng of genomic DNA for each of the four transfections is shown in Figure 4D. These results show that the quantity of factor VIII plasmid associated with the 293 cells, 24 hr after transfection, decreases with decreasing plasmid concentration used in the transfection. The quantity of pF8TM associated with 293 cells, after transfection with 40  $\mu$ g of plasmid, was 35 pg per 100 ng genomic DNA. This results in ~520 plasmid copies per cell.

## DISCUSSION

We have described a new method for quantitating gene copy numbers using real-time analysis of PCR amplifications. Real-time PCR is compatible with either of the two PCR (RT-PCR) approaches: (1) quantitative competitive where an internal competitor for each target sequence is used for normalization (data not shown) or (2) quantitative comparative PCR using a normalization gene contained within the sample (i.e.,  $\beta$ -actin) or a "housekeeping" gene for RT-PCR. If equal amounts of nucleic acid are analyzed for each sample and if the amplification efficiency before quantitative analysis is identical for each sample, the internal control (normalization gene or competitor) should give equal signals for all samples.

The real-time PCR method offers several advantages over the other two methods currently employed (see the Introduction). First, the real-time PCR method is performed in a closed-tube system and requires no post-PCR manipulation

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**Figure 4** Quantitative analysis of pF8TM in transfected cells. (A) Amount of plasmid DNA used for the transfection plotted against the mean  $C_1$  value determined for pF8TM remaining 24 hr after transfection. (B,C) Standard curves of pF8TM and  $\beta$ -actin, respectively. pF8TM DNA (B) and genomic DNA (C) were diluted serially 1:5 before amplification with the appropriate primers. The  $\beta$ -actin standard curve was used to normalize the results of 1 to 100 ng of genomic DNA. (D) The amount of pF8TM present per 100 ng of genomic DNA.

of sample. Therefore, the potential for PCR contamination in the laboratory is reduced because amplified products can be analyzed and disposed of without opening the reaction tubes. Second, this method supports the use of a normalization gene (i.e.,  $\beta$ -actin) for quantitative PCR or house-keeping genes for quantitative RT-PCR controls. Analysis is performed in real time during the log phase of product accumulation. Analysis during log phase permits many different genes (over a wide input target range) to be analyzed simultaneously, without concern of reaching reaction plateau at different cycles. This will make multi-gene analysis assays much easier to develop, because individual internal competitors will not be needed for each gene under analysis. Third, sample throughput will increase dramatically with the new method because there is no post-PCR processing time. Additionally, working in a 96-well format is highly compatible with automation technology.

The real-time PCR method is highly reproducible. Replicate amplifications can be analyzed

for each sample minimizing potential error. The system allows for a very large assay dynamic range (approaching 1,000,000-fold starting target). Using a standard curve for the target of interest, relative copy number values can be determined for any unknown sample. Fluorescent threshold values,  $C_p$ , correlate linearly with relative DNA copy numbers. Real time quantitative RT-PCR methodology (Gibson et al., this issue) has also been developed. Finally, real time quantitative PCR methodology can be used to develop high-throughput screening assays for a variety of applications (quantitative gene expression (RT-PCR), gene copy assays (Her2, HIV, etc.), genotyping (knockout mouse analysis), and immunopCR).

Real-time PCR may also be performed using intercalating dyes (Higuchi et al. 1992) such as ethidium bromide. The fluorogenic probe method offers a major advantage over intercalating dyes--greater specificity (i.e., primer dimers and nonspecific PCR products are not detected).

## METHODS

## Generation of a Plasmid Containing a Partial cDNA for Human Factor VIII

Total RNA was harvested (RNeasy II from Tel Test, Inc., Friendswood, TX) from cells transfected with a factor VIII expression vector, pCHS2.8c(251) (Eaton et al. 1986; Gorman et al. 1990). A factor VIII partial cDNA sequence was generated by RT-PCR (ClonAmp II, 17 $\mu$ g RNA PCR Kit (part N808-0179, PE Applied Biosystems, Foster City, CA)) using the PCR primers 18For and 18Rev (primer sequences are shown below). The amplicon was reamplified using modified 18For and 18Rev primers (extended with *KanIII* and *HindIII* restriction site sequences at the 5' end) and cloned into pGEM-3Z (Promega Corp., Madison, WI). The resulting clone, pH8Tm, was used for transient transfection of 293 cells.

## Amplification of Target DNA and Detection of Amplicon Factor VIII Plasmid DNA

(PFRTM) was amplified with the primers 58for 5'-CCGCTTCCGAAGAUGTGA(X)1GTG-3' and 58rev 5'-AAACCTTCACTCTGGATGCTATG-3'. The reaction produced a 422-bp PCR product. The forward primer was designed to recognize a unique sequence found in the 5' untranslated region of the parent pGK2.8(25D) plasmid and therefore does not recognize and amplify the human factor VIII gene. Primers were chosen with the assistance of the computer program Oligo 1.0 (National Biosciences, Inc., Plymouth, MN). The human  $\beta$ -actin gene was amplified with the primers  $\beta$ -actin forward primer 5'-TCACCCACATTCCTGCCATCTACCA-3' and  $\beta$ -actin reverse primer 5'-CACCGGAACTGGCTCATGGCAATGG-3'. The reaction produced a 295-bp PCR product.

Amplification reactions (50  $\mu$ l) contained a DNA sample, 10 $\times$  PCR Buffer II (5  $\mu$ l), 200  $\mu$ M dATP, dCTP, dGTP, and 400  $\mu$ M dTTP, 4 mM MgCl<sub>2</sub>, 1.25 Units AmpliTaq DNA polymerase, 0.5 unit AmpliTaq uracil N-glycosylase (UNG), 50 pmole of each factor VIII primer, and 15 pmole of each  $\beta$ -actin primer. The reactions also contained one of the following detection probes (100 nM each):  $\beta$ -phosphate 5' (FAM)ACCTCTTCTTCACTCTCCTCTCTTCTTGCCTT(TAMRA)p 3' and  $\beta$ -actin probe 5' (FAM)ATGCCG-X(TAMRA)CCCCCATGCCATCp-3' where p indicates phosphorylation and X indicates a linker arm nucleotide. Reaction tubes were MicroAmp Optical Tubes (part number N801 0933, Perkin Elmer) that were frosted (at Perkin Elmer) to prevent light from reflecting. Tube caps were similar to MicroAmp Caps but specially designed to prevent light scattering. All of the PCR consumables were supplied by PE Applied Biosystems (Foster City, CA) except the factor VIII primers, which were synthesized at Cenrich Tech, Inc. (South San Francisco, CA). Probes were designed using the Oligo 4.0 software, following guidelines suggested in the Model 7700 Sequence Detector instrument manual. Briefly, probe  $T_m$  should be at least 5°C higher than the annealing temperature used during thermal cycling; primers should not form stable duplexes with the probe.

The thermal cycling conditions included 2 min at 50°C and 10 min at 95°C. Thermal cycling proceeded with

## REAL TIME QUANTITATIVE PCR

reactions were performed in the Model 7700 Sequence Detector (PE Applied Biosystems), which contains a GeneAmp PCR System 9600. Reaction conditions were programmed on a Power Macintosh 7100 (Apple Computer, Santa Clara, CA) linked directly to the Model 7700 Sequence Detector. Analysis of data was also performed on the Macintosh computer. Collection and analysis software was developed at PE Applied Biosystems.

### Transfection of Cells with Factor VIII Construct

Four T175 flasks of 293 cells (ATCC CRL 1573), a human fetal kidney suspension cell line, were grown to 80% confluence and transfected pR8TM. Cells were grown in the following media: 50% HAM'S F12 without GHT, 50% low glucose Dulbecco's modified Eagle medium (DMEM) without glycine with sodium bicarbonate, 10% fetal bovine serum, 2 mM L-glutamine, and 1% penicillin-streptomycin. The media was changed 30 min before the transfection. pR8TM DNA amounts of 40, 4, 0.5, and 0.1  $\mu$ g were added to 1.5 ml of a solution containing 0.125 mM  $\text{CaCl}_2$  and 1  $\times$  HEPES. The four mixtures were left at room temperature for 10 min and then added dropwise to the cells. The flasks were incubated at 37°C and 5%  $\text{CO}_2$  for 24 hr, washed with PBS, and resuspended in PBS. The round-jended cells were divided into aliquots and DNA was extracted immediately using the QIAamp Blood Kit (Qiagen, Chatsworth, CA). DNA was eluted into 200  $\mu$ l of 20 mM Tris-HCl at pH 8.0.

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## WISP genes are members of the connective tissue growth factor family that are up-regulated in Wnt-1-transformed cells and aberrantly expressed in human colon tumors

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**ABSTRACT** Wnt family members are critical to many developmental processes, and components of the Wnt signaling pathway have been linked to tumorigenesis in familial and sporadic colon carcinomas. Here we report the identification of two genes, *WISP-1* and *WISP-2*, that are up-regulated in the mouse mammary epithelial cell line C57MG transformed by Wnt-1, but not by Wnt-4. Together with a third related gene, *WISP-3*, these proteins define a subfamily of the connective tissue growth factor family. Two distinct systems demonstrated *WISP* induction to be associated with the expression of Wnt-1. These included (i) C57MG cells infected with a Wnt-1 retroviral vector or expressing Wnt-1 under the control of a tetracycline repressible promoter, and (ii) Wnt-1 transgenic mice. The *WISP-1* gene was localized to human chromosome 8q24.1–8q24.3. *WISP-1* genomic DNA was amplified in colon cancer cell lines and in human colon tumors and its RNA overexpressed (2- to >30-fold) in 84% of the tumors examined compared with patient-matched normal mucosa. *WISP-3* mapped to chromosome 6q22–6q23 and also was overexpressed (4- to >40-fold) in 63% of the colon tumors analyzed. In contrast, *WISP-2* mapped to human chromosome 20q12–20q13 and its DNA was amplified, but RNA expression was reduced (2- to >30-fold) in 79% of the tumors. These results suggest that the *WISP* genes may be downstream of Wnt-1 signaling and that aberrant levels of *WISP* expression in colon cancer may play a role in colon tumorigenesis.

Wnt-1 is a member of an expanding family of cysteine-rich, glycosylated signaling proteins that mediate diverse developmental processes such as the control of cell proliferation, adhesion, cell polarity, and the establishment of cell fates (1, 2). Wnt-1 originally was identified as an oncogene activated by the insertion of mouse mammary tumor virus in virus-induced mammary adenocarcinomas (3, 4). Although Wnt-1 is not expressed in the normal mammary gland, expression of Wnt-1 in transgenic mice causes mammary tumors (5).

In mammalian cells, Wnt family members initiate signaling by binding to the seven-transmembrane spanning Frizzled receptors and recruiting the cytoplasmic protein Dishevelled (Dsh) to the cell membrane (1, 2, 6). Dsh then inhibits the kinase activity of the normally constitutively active glycogen synthase kinase-3 $\beta$  (GSK-3 $\beta$ ) resulting in an increase in  $\beta$ -catenin levels. Stabilized  $\beta$ -catenin interacts with the transcription factor TCF/Lef1, forming a complex that appears in

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the nucleus and binds TCF/Lef1 target DNA elements to activate transcription (7, 8). Other experiments suggest that the adenomatous polyposis coli (APC) tumor suppressor gene also plays an important role in Wnt signaling by regulating  $\beta$ -catenin levels (9). APC is phosphorylated by GSK-3 $\beta$ , binds to  $\beta$ -catenin, and facilitates its degradation. Mutations in either APC or  $\beta$ -catenin have been associated with colon carcinomas and melanomas, suggesting these mutations contribute to the development of these types of cancer, implicating the Wnt pathway in tumorigenesis (1).

Although much has been learned about the Wnt signaling pathway over the past several years, only a few of the transcriptionally activated downstream components activated by Wnt have been characterized. Those that have been described cannot account for all of the diverse functions attributed to Wnt signaling. Among the candidate Wnt target genes are those encoding the nodal-related 3 gene, *Xnr3*, a member of the transforming growth factor (TGF)- $\beta$  superfamily, and the homeobox genes, *engrailed*, *goosecoid*, *twin* (*Xtwn*), and *siamois* (2). A recent report also identifies *c-myc* as a target gene of the Wnt signaling pathway (10).

To identify additional downstream genes in the Wnt signaling pathway that are relevant to the transformed cell phenotype, we used a PCR-based cDNA subtraction strategy, suppression subtractive hybridization (SSH) (11), using RNA isolated from C57MG mouse mammary epithelial cells and C57MG cells stably transformed by a Wnt-1 retrovirus. Overexpression of Wnt-1 in this cell line is sufficient to induce a partially transformed phenotype, characterized by elongated and refractile cells that lose contact inhibition and form a multilayered array (12, 13). We reasoned that genes differentially expressed between these two cell lines might contribute to the transformed phenotype.

In this paper, we describe the cloning and characterization of two genes up-regulated in Wnt-1 transformed cells, *WISP-1* and *WISP-2*, and a third related gene, *WISP-3*. The *WISP* genes are members of the CCN family of growth factors, which includes connective tissue growth factor (CTGF), Cyr61, and nov, a family not previously linked to Wnt signaling.

### MATERIALS AND METHODS

**SSH.** SSH was performed by using the PCR-Select cDNA Subtraction Kit (CLONTECH). Tester double-stranded

Abbreviations: TGF, transforming growth factor; CTGF, connective tissue growth factor; SSH, suppression subtractive hybridization; VWC, von Willebrand factor type C module.

Data deposition: The sequences reported in this paper have been deposited in the Genbank database (accession nos. AF100777, AF100778, AF100779, AF100780, and AF100781).

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cDNA was synthesized from 2  $\mu$ g of poly(A)<sup>+</sup> RNA isolated from the C57MG/Wnt-1 cell line and driver cDNA from 2  $\mu$ g of poly(A)<sup>+</sup> RNA from the parent C57MG cells. The subtracted cDNA library was subcloned into a pGEM-T vector for further analysis.

**cDNA Library Screening.** Clones encoding full-length mouse *WISP-1* were isolated by screening a  $\lambda$ gt10 mouse embryo cDNA library (CLONTECH) with a 70-bp probe from the original partial clone 568 sequence corresponding to amino acids 128–169. Clones encoding full-length human *WISP-1* were isolated by screening  $\lambda$ gt10 lung and fetal kidney cDNA libraries with the same probe at low stringency. Clones encoding full-length mouse and human *WISP-2* were isolated by screening a C57MG/Wnt-1 or human fetal lung cDNA library with a probe corresponding to nucleotides 1463–1512. Full-length cDNAs encoding *WISP-3* were cloned from human bone marrow and fetal kidney libraries.

**Expression of Human *WISP* RNA.** PCR amplification of first-strand cDNA was performed with human Multiple Tissue cDNA panels (CLONTECH) and 300  $\mu$ M of each dNTP at 94°C for 1 sec, 62°C for 30 sec, 72°C for 1 min, for 22–32 cycles. *WISP* and glyceraldehyde-3-phosphate dehydrogenase primer sequences are available on request.

**In Situ Hybridization.** <sup>32</sup>P-labeled sense and antisense riboprobes were transcribed from an 897-bp PCR product corresponding to nucleotides 601–1440 of mouse *WISP-1* or a 294-bp PCR product corresponding to nucleotides 82–375 of mouse *WISP-2*. All tissues were processed as described (40).

**Radiation Hybrid Mapping.** Genomic DNA from each hybrid in the Stanford G3 and Genebridge4 Radiation Hybrid Panels (Research Genetics, Huntsville, AL) and human and hamster control DNAs were PCR-amplified, and the results were submitted to the Stanford or Massachusetts Institute of Technology web servers.

**Cell Lines, Tumors, and Mucosa Specimens.** Tissue specimens were obtained from the Department of Pathology (University of Pittsburgh) for patients undergoing colon resection and from the University of Leeds, United Kingdom. Genomic DNA was isolated (Qiagen) from the pooled blood of 10 normal human donors, surgical specimens, and the following ATCC human cell lines: SW480, COLO 320DM, HT-29, WiDr, and SW403 (colon adenocarcinomas), SW620 (lymph node metastasis, colon adenocarcinoma), HCT 116 (colon carcinoma), SK-CO-1 (colon adenocarcinoma, ascites), and HM7 (a variant of ATCC colon adenocarcinoma cell line LS 174T). DNA concentration was determined by using Hoechst dye 33258 intercalation fluorimetry. Total RNA was prepared by homogenization in 7 M GuSCN followed by centrifugation over CsCl cushions or prepared by using RNANozol.

**Gene Amplification and RNA Expression Analysis.** Relative gene amplification and RNA expression of *WISP*s and *c-myc* in the cell lines, colorectal tumors, and normal mucosa were determined by quantitative PCR. Gene-specific primers and fluorogenic probes (sequences available on request) were designed and used to amplify and quantitate the genes. The relative gene copy number was derived by using the formula  $2^{(\Delta Ct)}$  where  $\Delta Ct$  represents the difference in amplification cycles required to detect the *WISP* genes in peripheral blood lymphocyte DNA compared with colon tumor DNA or colon tumor RNA compared with normal mucosal RNA. The  $\delta$ -method was used for calculation of the SE of the gene copy number or RNA expression level. The *WISP*-specific signal was normalized to that of the glyceraldehyde-3-phosphate dehydrogenase housekeeping gene. All TaqMan assay reagents were obtained from Perkin-Elmer Applied Biosystems.

## RESULTS

**Isolation of *WISP-1* and *WISP-2* by SSH.** To identify Wnt-1-inducible genes, we used the technique of SSH using the

mouse mammary epithelial cell line C57MG and C57MG cells that stably express Wnt-1 (11). Candidate differentially expressed cDNAs (1,384 total) were sequenced. Thirty-nine percent of the sequences matched known genes or homologues, 32% matched expressed sequence tags, and 29% had no match. To confirm that the transcript was differentially expressed, semiquantitative reverse transcription-PCR and Northern analysis were performed by using mRNA from the C57MG and C57MG/Wnt-1 cells.

Two of the cDNAs, *WISP-1* and *WISP-2*, were differentially expressed, being induced in the C57MG/Wnt-1 cell line, but not in the parent C57MG cells or C57MG cells overexpressing Wnt-4 (Fig. 1A and B). Wnt-4, unlike Wnt-1, does not induce the morphological transformation of C57MG cells and has no effect on  $\beta$ -catenin levels (13, 14). Expression of *WISP-1* was up-regulated approximately 3-fold in the C57MG/Wnt-1 cell line and *WISP-2* by approximately 5-fold by both Northern analysis and reverse transcription-PCR.

An independent, but similar, system was used to examine *WISP* expression after Wnt-1 induction. C57MG cells expressing the *Wnt-1* gene under the control of a tetracycline-repressible promoter produce low amounts of Wnt-1 in the repressed state but show a strong induction of *Wnt-1* mRNA and protein within 24 hr after tetracycline removal (8). The levels of Wnt-1 and *WISP* RNA isolated from these cells at various times after tetracycline removal were assessed by quantitative PCR. Strong induction of Wnt-1 mRNA was seen as early as 10 hr after tetracycline removal. Induction of *WISP* mRNA (2- to 6-fold) was seen at 48 and 72 hr (data not shown). These data support our previous observations that show that *WISP* induction is correlated with Wnt-1 expression. Because the induction is slow, occurring after approximately 48 hr, the induction of *WISP*s may be an indirect response to Wnt-1 signaling.

cDNA clones of human *WISP-1* were isolated and the sequence compared with mouse *WISP-1*. The cDNA sequences of mouse and human *WISP-1* were 1,766 and 2,830 bp in length, respectively, and encode proteins of 367 aa, with predicted relative molecular masses of  $\approx$ 40,000 ( $M_r$ , 40 K). Both have hydrophobic N-terminal signal sequences, 38 conserved cysteine residues, and four potential N-linked glycosylation sites and are 84% identical (Fig. 2A).

Full-length cDNA clones of mouse and human *WISP-2* were 1,734 and 1,293 bp in length, respectively, and encode proteins of 251 and 250 aa, respectively, with predicted relative molecular masses of  $\approx$ 27,000 ( $M_r$ , 27 K) (Fig. 2B). Mouse and human *WISP-2* are 73% identical. Human *WISP-2* has no potential N-linked glycosylation sites, and mouse *WISP-2* has one at

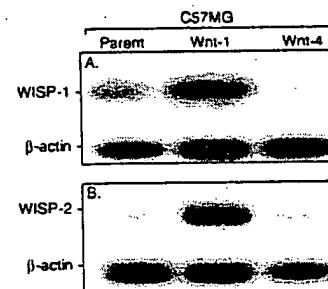


FIG. 1. *WISP-1* and *WISP-2* are induced by Wnt-1, but not Wnt-4, expression in C57MG cells. Northern analysis of *WISP-1* (A) and *WISP-2* (B) expression in C57MG, C57MG/Wnt-1, and C57MG/Wnt-4 cells. Poly(A)<sup>+</sup> RNA (2  $\mu$ g) was subjected to Northern blot analysis and hybridized with a 70-bp mouse *WISP-1*-specific probe (amino acids 278–300) or a 190-bp *WISP-2*-specific probe (nucleotides 1438–1627) in the 3' untranslated region. Blots were rehybridized with human  $\beta$ -actin probe.

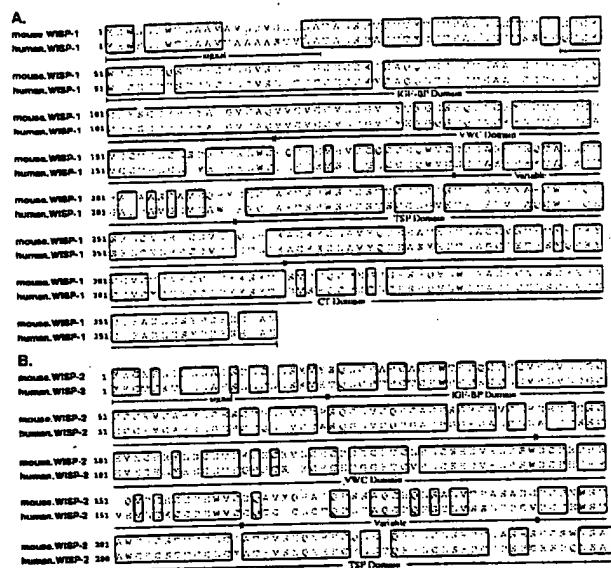


FIG. 2. Encoded amino acid sequence alignment of mouse and human *WTSP-1* (A) and mouse and human *WTSP-2* (B). The potential signal sequence, insulin-like growth factor-binding protein (IGF-BP), VWC, thrombospondin (TSP), and C-terminal (CT) domains are underlined.

position 197. *WISP-2* has 28 cysteine residues that are conserved among the 38 cysteines found in *WISP-1*.

**Identification of WISP-3.** To search for related proteins, we screened expressed sequence tag (EST) databases with the WISP-1 protein sequence and identified several ESTs as potentially related sequences. We identified a homologous protein that we have called WISP-3. A full-length human WISP-3 cDNA of 1,371 bp was isolated corresponding to those ESTs that encode a 354-aa protein with a predicted molecular mass of 39,293. WISP-3 has two potential N-linked glycosylation sites and 36 cysteine residues. An alignment of the three human WISP proteins shows that WISP-1 and WISP-3 are the most similar (42% identity), whereas WISP-2 has 37% identity with WISP-1 and 32% identity with WISP-3 (Fig. 34).

#### WISPs Are Homologous to the CTGF Family of Proteins.

Human *WISP-1*, *WISP-2*, and *WISP-3* are novel sequences; however, mouse *WISP-1* is the same as the recently identified *Elml* gene. *Elml* is expressed in low, but not high, metastatic mouse melanoma cells, and suppresses the *in vivo* growth and metastatic potential of K-1735 mouse melanoma cells (15). Human and mouse *WISP-2* are homologous to the recently described rat gene, *rCop-1* (16). Significant homology (36–44%) was seen to the CCN family of growth factors. This family includes three members, CTGF, Cyr61, and the protooncogene *nov*. CTGF is a chemotactic and mitogenic factor for fibroblasts that is implicated in wound healing and fibrotic disorders and is induced by TGF- $\beta$  (17). Cyr61 is an extracellular matrix signaling molecule that promotes cell adhesion, proliferation, migration, angiogenesis, and tumor growth (18, 19). *nov* (nephroblastoma overexpressed) is an immediate early gene associated with quiescence and found altered in Wilms tumors (20). The proteins of the CCN family share functional, but not sequence, similarity to Wnt-1. All are secreted, cysteine-rich heparin binding glycoproteins that associate with the cell surface and extracellular matrix.

WISP proteins exhibit the modular architecture of the CCN family, characterized by four conserved cysteine-rich domains (Fig. 3B) (21). The N-terminal domain, which includes the first 12 cysteine residues, contains a consensus sequence (GCGC-CXXC) conserved in most insulin-like growth factor (IGF)-

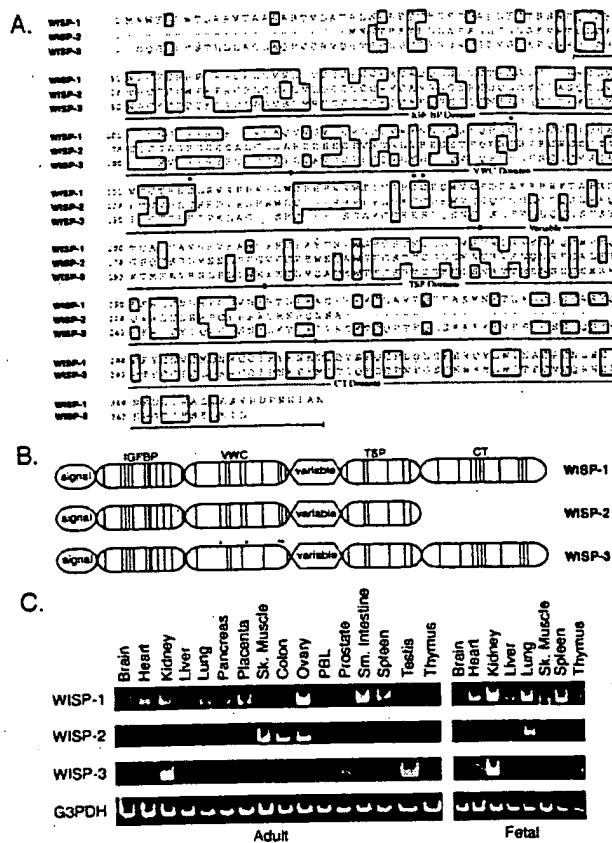


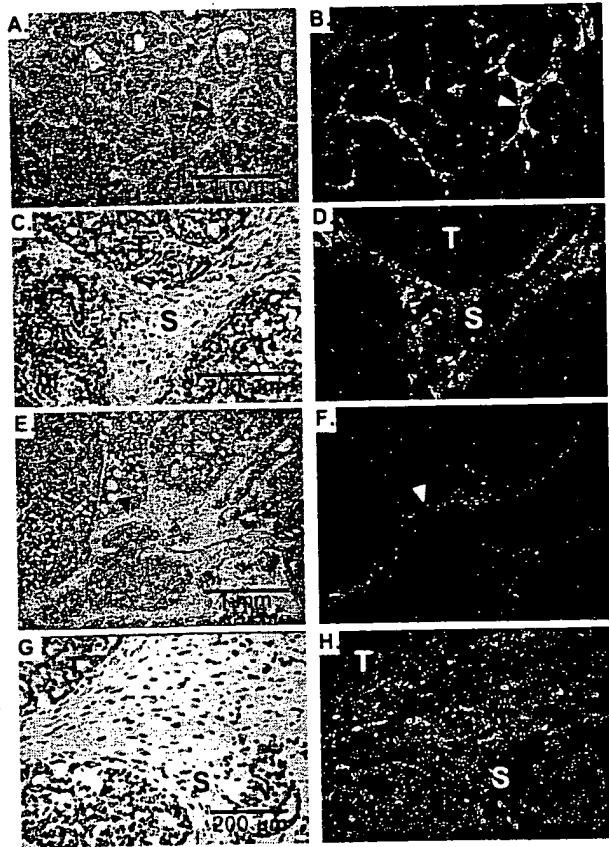
FIG. 3. (A) Encoded amino acid sequence alignment of human WISPs. The cysteine residues of WISP-1 and WISP-2 that are not present in WISP-3 are indicated with a dot. (B) Schematic representation of the WISP proteins showing the domain structure and cysteine residues (vertical lines). The four cysteine residues in the VWC domain that are absent in WISP-3 are indicated with a dot. (C) Expression of WISP mRNA in human tissues. PCR was performed on human multiple-tissue cDNA panels (CLONTECH) from the indicated adult and fetal tissues.

binding proteins (BP). This sequence is conserved in WISP-2 and WISP-3, whereas WISP-1 has a glutamine in the third position instead of a glycine. CTGF recently has been shown to specifically bind IGF (22) and a truncated *nov* protein lacking the IGF-BP domain is oncogenic (23). The von Willebrand factor type C module (VWC), also found in certain collagens and mucins, covers the next 10 cysteine residues, and is thought to participate in protein complex formation and oligomerization (24). The VWC domain of WISP-3 differs from all CCN family members described previously, in that it contains only six of the 10 cysteine residues (Fig. 3A and B). A short variable region follows the VWC domain. The third module, the thrombospondin (TSP) domain is involved in binding to sulfated glycoconjugates and contains six cysteine residues and a conserved WSxCSxxCG motif first identified in thrombospondin (25). The C-terminal (CT) module containing the remaining 10 cysteines is thought to be involved in dimerization and receptor binding (26). The CT domain is present in all CCN family members described to date but is absent in WISP-2 (Fig. 3A and B). The existence of a putative signal sequence and the absence of a transmembrane domain suggest that WISPs are secreted proteins, an observation supported by an analysis of their expression and secretion from mammalian cell and baculovirus cultures (data not shown).

**Expression of *WISP* mRNA in Human Tissues.** Tissue-specific expression of human *WISPs* was characterized by PCR

analysis on adult and fetal multiple tissue cDNA panels. *WISP-1* expression was seen in the adult heart, kidney, lung, pancreas, placenta, ovary, small intestine, and spleen (Fig. 3C). Little or no expression was detected in the brain, liver, skeletal muscle, colon, peripheral blood leukocytes, prostate, testis, or thymus. *WISP-2* had a more restricted tissue expression and was detected in adult skeletal muscle, colon, ovary, and fetal lung. Predominant expression of *WISP-3* was seen in adult kidney and testis and fetal kidney. Lower levels of *WISP-3* expression were detected in placenta, ovary, prostate, and small intestine.

**In Situ** Localization of *WTSP-1* and *WTSP-2*. Expression of *WISP-1* and *WISP-2* was assessed by *in situ* hybridization in mammary tumors from Wnt-1 transgenic mice. Strong expression of *WISP-1* was observed in stromal fibroblasts lying within the fibrovascular tumor stroma (Fig. 4 *A–D*). However, low-level *WISP-1* expression also was observed focally within tumor cells (data not shown). No expression was observed in normal breast. Like *WISP-1*, *WISP-2* expression also was seen in the tumor stroma in breast tumors from Wnt-1 transgenic animals (Fig. 4 *E–H*). However, *WISP-2* expression in the stroma was in spindle-shaped cells adjacent to capillary vessels, whereas



**FIG. 4.** (*A, C, E, and G*) Representative hematoxylin/eosin-stained images from breast tumors in Wnt-1 transgenic mice. The corresponding dark-field images showing *WTSP-1* expression are shown in *B* and *D*. The tumor is a moderately well-differentiated adenocarcinoma showing evidence of adenoid cystic change. At low power (*A* and *B*), expression of *WTSP-1* is seen in the delicate branching fibrovascular tumor stroma (arrowhead). At higher magnification, expression is seen in the stromal(s) fibroblasts (*C* and *D*), and tumor cells are negative. Focal expression of *WTSP-1*, however, was observed in tumor cells in some areas. Images of *WTSP-2* expression are shown in *E-H*. At low power (*E* and *F*), expression of *WTSP-2* is seen in cells lying within the fibrovascular tumor stroma. At higher magnification, these cells appeared to be adjacent to capillary vessels whereas tumor cells are negative (*G* and *H*).

the predominant cell type expressing *WISP-1* was the stromal fibroblasts.

**Chromosome Localization of the *WISP* Genes.** The chromosomal location of the human *WISP* genes was determined by radiation hybrid mapping panels. *WISP-1* is approximately 3.48 cR from the meiotic marker AFM259xc5 [logarithm of odds (lod) score 16.31] on chromosome 8q24.1 to 8q24.3, in the same region as the human locus of the *novH* family member (27) and roughly 4 Mbs distal to *c-myc* (28). Preliminary fine mapping indicates that *WISP-1* is located near D8S1712 STS. *WISP-2* is linked to the marker SHGC-33922 (lod = 1,000) on chromosome 20q12-20q13.1. Human *WISP-3* mapped to chromosome 6q22-6q23 and is linked to the marker AFM211ze5 (lod = 1,000). *WISP-3* is approximately 18 Mbs proximal to CTGF and 23 Mbs proximal to the human cellular oncogene *MYB* (27, 29).

**Amplification and Aberrant Expression of *WISPs* in Human Colon Tumors.** Amplification of protooncogenes is seen in many human tumors and has etiological and prognostic significance. For example, in a variety of tumor types, *c-myc* amplification has been associated with malignant progression and poor prognosis (30). Because *WISP-1* resides in the same general chromosomal location (8q24) as *c-myc*, we asked whether it was a target of gene amplification, and, if so, whether this amplification was independent of the *c-myc* locus. Genomic DNA from human colon cancer cell lines was assessed by quantitative PCR and Southern blot analysis. (Fig. 5A and B). Both methods detected similar degrees of *WISP-1* amplification. Most cell lines showed significant (2- to 4-fold) amplification, with the HT-29 and WiDr cell lines demonstrating an 8-fold increase. Significantly, the pattern of amplification observed did not correlate with that observed for *c-myc*, indicating that the *c-myc* gene is not part of the amplicon that involves the *WISP-1* locus.

We next examined whether the *WISP* genes were amplified in a panel of 25 primary human colon adenocarcinomas. The relative *WISP* gene copy number in each colon tumor DNA was compared with pooled normal DNA from 10 donors by quantitative PCR (Fig. 6). The copy number of *WISP-1* and *WISP-2* was significantly greater than one, approximately 2-fold for *WISP-1* in about 60% of the tumors and 2- to 4-fold for *WISP-2* in 92% of the tumors ( $P < 0.001$  for each). The copy number for *WISP-3* was indistinguishable from one ( $P = 0.166$ ). In addition, the copy number of *WISP-2* was significantly higher than that of *WISP-1* ( $P < 0.001$ ).

The levels of *WISP* transcripts in RNA isolated from 19 adenocarcinomas and their matched normal mucosa were

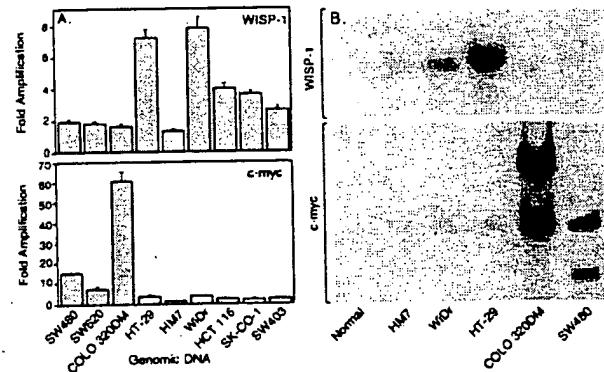


Fig. 5. Amplification of *WISP-1* genomic DNA in colon cancer cell lines. (A) Amplification in cell line DNA was determined by quantitative PCR. (B) Southern blots containing genomic DNA (10  $\mu$ g) digested with *Eco*RI (*WISP-1*) or *Xba*I (*c-myc*) were hybridized with a 100-bp human *WISP-1* probe (amino acids 186–219) or a human *c-myc* probe (located at bp 1901–2000). The *WISP* and *myc* genes are detected in normal human genomic DNA after a longer film exposure.

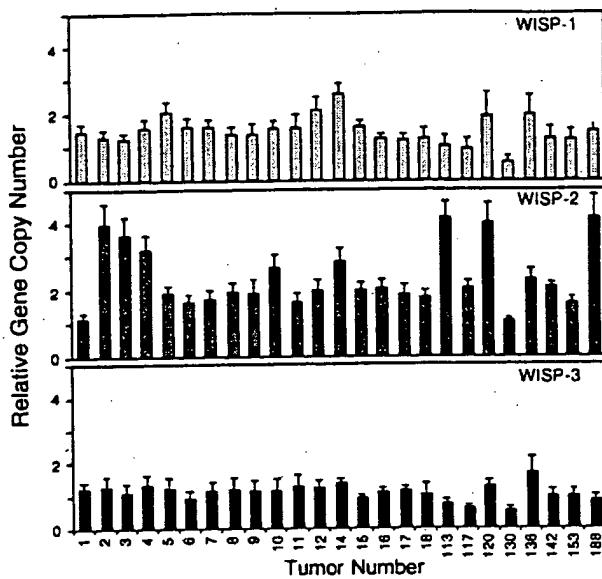


FIG. 6. Genomic amplification of *WISP* genes in human colon tumors. The relative gene copy number of the *WISP* genes in 25 adenocarcinomas was assayed by quantitative PCR, by comparing DNA from primary human tumors with pooled DNA from 10 healthy donors. The data are means  $\pm$  SEM from one experiment done in triplicate. The experiment was repeated at least three times.

assessed by quantitative PCR (Fig. 7). The level of *WISP-1* RNA present in tumor tissue varied but was significantly increased (2- to  $>25$ -fold) in 84% (16/19) of the human colon tumors examined compared with normal adjacent mucosa. Four of 19 tumors showed greater than 10-fold overexpression. In contrast, in 79% (15/19) of the tumors examined, *WISP-2* RNA expression was significantly lower in the tumor than the mucosa. Similar to *WISP-1*, *WISP-3* RNA was overexpressed in 63% (12/19) of the colon tumors compared with the normal

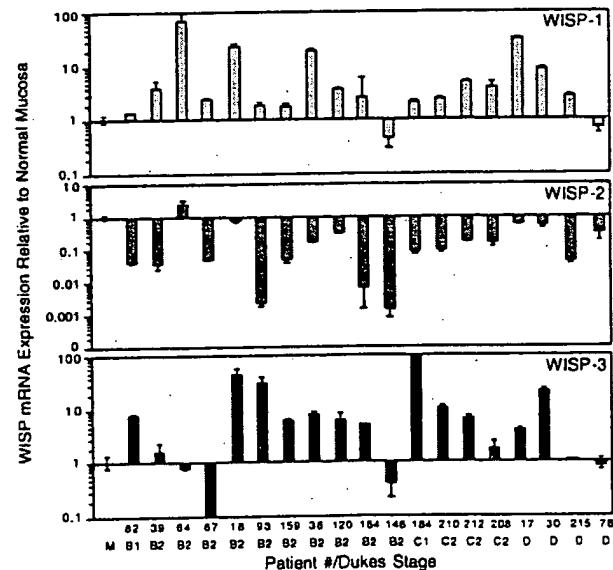


FIG. 7. *WISP* RNA expression in primary human colon tumors relative to expression in normal mucosa from the same patient. Expression of *WISP* mRNA in 19 adenocarcinomas was assayed by quantitative PCR. The Dukes stage of the tumor is listed under the sample number. The data are means  $\pm$  SEM from one experiment done in triplicate. The experiment was repeated at least twice.

mucosa. The amount of overexpression of *WISP-3* ranged from 4- to  $>40$ -fold.

## DISCUSSION

One approach to understanding the molecular basis of cancer is to identify differences in gene expression between cancer cells and normal cells. Strategies based on assumptions that steady-state mRNA levels will differ between normal and malignant cells have been used to clone differentially expressed genes (31). We have used a PCR-based selection strategy, SSH, to identify genes selectively expressed in C57MG mouse mammary epithelial cells transformed by Wnt-1.

Three of the genes isolated, *WISP-1*, *WISP-2*, and *WISP-3*, are members of the CCN family of growth factors, which includes CTGF, Cyr61, and *nov*, a family not previously linked to Wnt signaling.

Two independent experimental systems demonstrated that *WISP* induction was associated with the expression of Wnt-1. The first was C57MG cells infected with a Wnt-1 retroviral vector or C57MG cells expressing Wnt-1 under the control of a tetracycline-repressible promoter, and the second was in Wnt-1 transgenic mice, where breast tissue expresses Wnt-1, whereas normal breast tissue does not. No *WISP* RNA expression was detected in mammary tumors induced by polyoma virus middle T antigen (data not shown). These data suggest a link between Wnt-1 and *WISP*s in that in these two situations, *WISP* induction was correlated with Wnt-1 expression.

It is not clear whether the *WISP*s are directly or indirectly induced by the downstream components of the Wnt-1 signaling pathway (i.e.,  $\beta$ -catenin-TCF-1/Lef1). The increased levels of *WISP* RNA were measured in Wnt-1-transformed cells, hours or days after Wnt-1 transformation. Thus, *WISP* expression could result from Wnt-1 signaling directly through  $\beta$ -catenin transcription factor regulation or alternatively through Wnt-1 signaling turning on a transcription factor, which in turn regulates *WISP*s.

The *WISP*s define an additional subfamily of the CCN family of growth factors. One striking difference observed in the protein sequence of *WISP-2* is the absence of a CT domain, which is present in CTGF, Cyr61, *nov*, *WISP-1*, and *WISP-3*. This domain is thought to be involved in receptor binding and dimerization. Growth factors, such as TGF- $\beta$ , platelet-derived growth factor, and nerve growth factor, which contain a cystine knot motif exist as dimers (32). It is tempting to speculate that *WISP-1* and *WISP-3* may exist as dimers, whereas *WISP-2* exists as a monomer. If the CT domain is also important for receptor binding, *WISP-2* may bind its receptor through a different region of the molecule than the other CCN family members. No specific receptors have been identified for CTGF or *nov*. A recent report has shown that integrin  $\alpha_6\beta_3$  serves as an adhesion receptor for Cyr61 (33).

The strong expression of *WISP-1* and *WISP-2* in cells lying within the fibrovascular tumor stroma in breast tumors from Wnt-1 transgenic animals is consistent with previous observations that transcripts for the related CTGF gene are primarily expressed in the fibrous stroma of mammary tumors (34). Epithelial cells are thought to control the proliferation of connective tissue stroma in mammary tumors by a cascade of growth factor signals similar to that controlling connective tissue formation during wound repair. It has been proposed that mammary tumor cells or inflammatory cells at the tumor interstitial interface secrete TGF- $\beta$ 1, which is the stimulus for stromal proliferation (34). TGF- $\beta$ 1 is secreted by a large percentage of malignant breast tumors and may be one of the growth factors that stimulates the production of CTGF and *WISP*s in the stroma.

It was of interest that *WISP-1* and *WISP-2* expression was observed in the stromal cells that surrounded the tumor cells

(epithelial cells) in the Wnt-1 transgenic mouse sections of breast tissue. This finding suggests that paracrine signaling could occur in which the stromal cells could supply WISP-1 and WISP-2 to regulate tumor cell growth on the WISP extracellular matrix. Stromal cell-derived factors in the extracellular matrix have been postulated to play a role in tumor cell migration and proliferation (35). The localization of *WISP-1* and *WISP-2* in the stromal cells of breast tumors supports this paracrine model.

An analysis of *WISP-1* gene amplification and expression in human colon tumors showed a correlation between DNA amplification and overexpression, whereas overexpression of *WISP-3* RNA was seen in the absence of DNA amplification. In contrast, *WISP-2* DNA was amplified in the colon tumors, but its mRNA expression was significantly reduced in the majority of tumors compared with the expression in normal colonic mucosa from the same patient. The gene for human *WISP-2* was localized to chromosome 20q12-20q13, at a region frequently amplified and associated with poor prognosis in node negative breast cancer and many colon cancers, suggesting the existence of one or more oncogenes at this locus (36-38). Because the center of the 20q13 amplicon has not yet been identified, it is possible that the apparent amplification observed for *WISP-2* may be caused by another gene in this amplicon.

A recent manuscript on *rCop-1*, the rat orthologue of *WISP-2*, describes the loss of expression of this gene after cell transformation, suggesting it may be a negative regulator of growth in cell lines (16). Although the mechanism by which *WISP-2* RNA expression is down-regulated during malignant transformation is unknown, the reduced expression of *WISP-2* in colon tumors and cell lines suggests that it may function as a tumor suppressor. These results show that the *WISP* genes are aberrantly expressed in colon cancer and suggest that their altered expression may confer selective growth advantage to the tumor.

Members of the Wnt signaling pathway have been implicated in the pathogenesis of colon cancer, breast cancer, and melanoma, including the tumor suppressor gene adenomatous polyposis coli and  $\beta$ -catenin (39). Mutations in specific regions of either gene can cause the stabilization and accumulation of cytoplasmic  $\beta$ -catenin, which presumably contributes to human carcinogenesis through the activation of target genes such as the *WISPs*. Although the mechanism by which Wnt-1 transforms cells and induces tumorigenesis is unknown, the identification of *WISPs* as genes that may be regulated downstream of Wnt-1 in C57MG cells suggests they could be important mediators of Wnt-1 transformation. The amplification and altered expression patterns of the *WISPs* in human colon tumors may indicate an important role for these genes in tumor development.

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methods. Peptides AENK or AEQK were dissolved in water, made isotonic with NaCl and diluted into RPMI growth medium. T-cell-proliferation assays were done essentially as described<sup>20,21</sup>. Briefly, after antigen pulsing (30 µg ml<sup>-1</sup> TCF) with tetrapeptides (1–2 mg ml<sup>-1</sup>), PBMCs or EBV-B cells were washed in PBS and fixed for 45 s in 0.05% glutaraldehyde. Glycine was added to a final concentration of 0.1M and the cells were washed five times in RPMI 1640 medium containing 1% FCS before co-culture with T-cell clones in round-bottom 96-well microtitre plates. After 48 h, the cultures were pulsed with 1 µCi of <sup>3</sup>H-thymidine and harvested for scintillation counting 16 h later. Predigestion of native TCF was done by incubating 200 µg TCF with 0.25 µg pig kidney legumain in 500 µl 50 mM citrate buffer, pH 5.5, for 1 h at 37°C.

**Glycopeptide digestions.** The peptides HIDNEEDI, HIDN(N-glucosamine) EEDI and HIDNESDI, which are based on the TCF sequence, and QQQHQLFGNSVTDCSGNFCLFR(KKK), which is based on human transferrin, were obtained by custom synthesis. The three C-terminal lysine residues were added to the natural sequence to aid solubility. The transferrin glycopeptide QQQHQLFGNSVTDCSGNFCLFR was prepared by tryptic (Promega) digestion of 5 mg reduced, carboxy-methylated human transferrin followed by concanavalin A chromatography<sup>11</sup>. Glycopeptides corresponding to residues 622–642 and 421–452 were isolated by reverse-phase HPLC and identified by mass spectrometry and N-terminal sequencing. The lyophilized transferrin-derived peptides were redissolved in 50 mM sodium acetate, pH 5.5, 10 mM dithiothreitol, 20% methanol. Digestions were performed for 3 h at 30°C with 5–50 µU ml<sup>-1</sup> pig kidney legumain or B-cell AEP. Products were analysed by HPLC or MALDI-TOF mass spectrometry using a matrix of 10 mg ml<sup>-1</sup>  $\alpha$ -cyanocinnamic acid in 50% acetonitrile/0.1% TFA and a PerSeptive Biosystems Elite STR mass spectrometer set to linear or reflector mode. Internal standardization was obtained with a matrix ion of 568.13 mass units.

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## Genomic amplification of a decoy receptor for Fas ligand in lung and colon cancer

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Fas ligand (FasL) is produced by activated T cells and natural killer cells and it induces apoptosis (programmed cell death) in target cells through the death receptor Fas/Apo1/CD95 (ref. 1). One important role of FasL and Fas is to mediate immune-cytotoxic killing of cells that are potentially harmful to the organism, such as virus-infected or tumour cells<sup>1</sup>. Here we report the discovery of a soluble decoy receptor, termed decoy receptor 3 (DcR3), that binds to FasL and inhibits FasL-induced apoptosis. The DcR3 gene was amplified in about half of 35 primary lung and colon tumours studied, and DcR3 messenger RNA was expressed in malignant tissue. Thus, certain tumours may escape FasL-dependent immune-cytotoxic attack by expressing a decoy receptor that blocks FasL.

By searching expressed sequence tag (EST) databases, we identified a set of related ESTs that showed homology to the tumour necrosis factor (TNF) receptor (TNFR) gene superfamily<sup>2</sup>. Using the overlapping sequence, we isolated a previously unknown full-length complementary DNA from human fetal lung. We named the protein encoded by this cDNA decoy receptor 3 (DcR3). The cDNA encodes a 300-amino-acid polypeptide that resembles members of the TNFR family (Fig. 1a): the amino terminus contains a leader sequence, which is followed by four tandem cysteine-rich domains (CRDs). Like one other TNFR homologue, osteoprotegerin (OPG)<sup>3</sup>, DcR3 lacks an apparent transmembrane sequence, which indicates that it may be a secreted, rather than a membrane-associated, molecule. We expressed a recombinant, histidine-tagged form of DcR3 in mammalian cells; DcR3 was secreted into the cell culture medium, and migrated on polyacrylamide gels as a protein of relative molecular mass 35,000 (data not shown). DcR3 shares sequence identity in particular with OPG (31%) and TNFR2 (29%), and has relatively less homology with Fas (17%). All of the cysteines in the four CRDs of DcR3 and OPG are conserved; however, the carboxy-terminal portion of DcR3 is 101 residues shorter.

We analysed expression of DcR3 mRNA in human tissues by northern blotting (Fig. 1b). We detected a predominant 1.2-kilobase transcript in fetal lung, brain, and liver, and in adult spleen, colon and lung. In addition, we observed relatively high DcR3 mRNA expression in the human colon carcinoma cell line SW480.

To investigate potential ligand interactions of DcR3, we generated a recombinant, Fc-tagged DcR3 protein. We tested binding of DcR3-Fc to human 293 cells transfected with individual TNF-family ligands, which are expressed as type 2 transmembrane proteins (these transmembrane proteins have their N termini in the cytosol). DcR3-Fc showed a significant increase in binding to cells transfected with FasL<sup>4</sup> (Fig. 2a), but not to cells transfected with TNF<sup>5</sup>, Apo2L/TRAIL<sup>6,7</sup>, Apo3L/TWEAK<sup>8,9</sup>, or OPG/TRANCE/

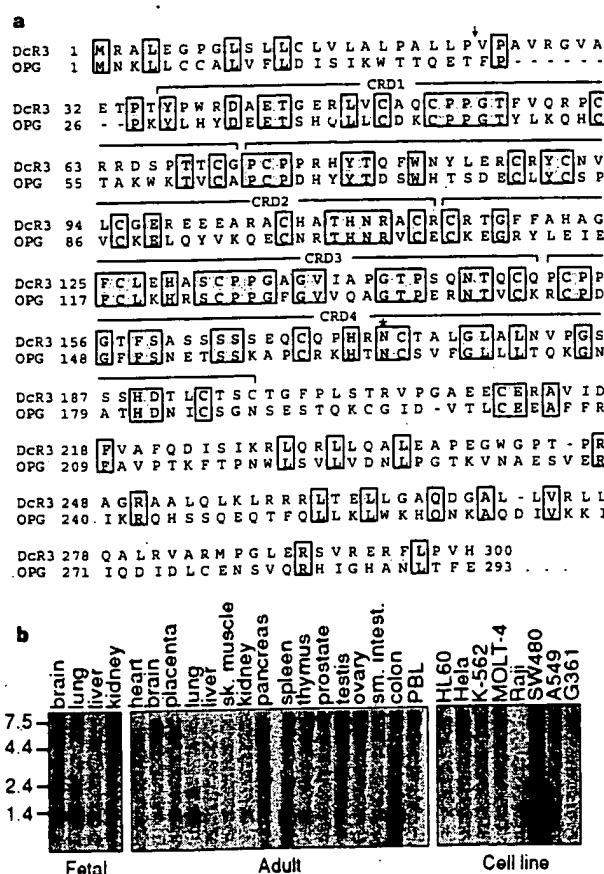
RANKL<sup>10-12</sup> (data not shown). DcR3-Fc immunoprecipitated shed FasL from FasL-transfected 293 cells (Fig. 2b) and purified soluble FasL (Fig. 2c), as did the Fc-tagged ectodomain of Fas but not TNFR1. Gel-filtration chromatography showed that DcR3-Fc and soluble FasL formed a stable complex (Fig. 2d). Equilibrium analysis indicated that DcR3-Fc and Fas-Fc bound to soluble FasL with a comparable affinity ( $K_d = 0.8 \pm 0.2$  and  $1.1 \pm 0.1$  nM, respectively; Fig. 2e), and that DcR3-Fc could block nearly all of the binding of soluble FasL to Fas-Fc (Fig. 2e, inset). Thus, DcR3 competes with Fas for binding to FasL.

To determine whether binding of DcR3 inhibits FasL activity, we tested the effect of DcR3-Fc on apoptosis induction by soluble FasL in Jurkat T leukaemia cells, which express Fas (Fig. 3a). DcR3-Fc and Fas-Fc blocked soluble-FasL-induced apoptosis in a similar dose-dependent manner, with half-maximal inhibition at  $\sim 0.1 \mu\text{g ml}^{-1}$ . Time-course analysis showed that the inhibition did not merely delay cell death, but rather persisted for at least 24 hours (Fig. 3b). We also tested the effect of DcR3-Fc on activation-induced cell death (AICD) of mature T lymphocytes, a FasL-dependent process<sup>1</sup>. Consistent with previous results<sup>13</sup>, activation of interleukin-2-stimulated CD4-positive T cells with anti-CD3 antibody increased the level of apoptosis twofold, and Fas-Fc blocked this effect substantially (Fig. 3c); DcR3-Fc blocked the

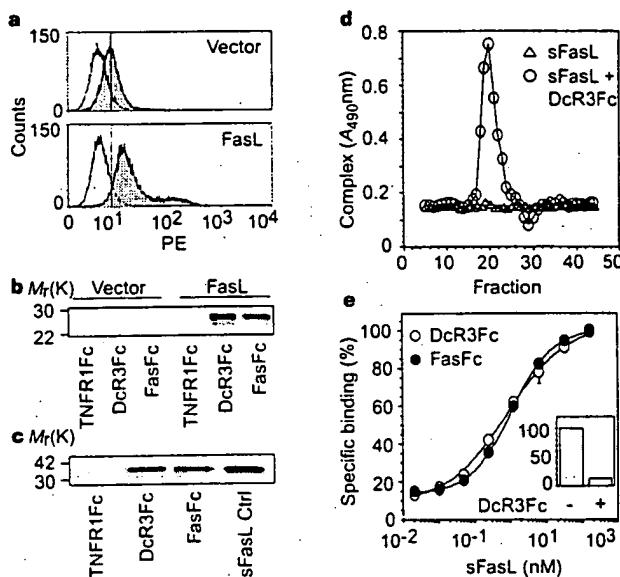
induction of apoptosis to a similar extent. Thus, DcR3 binding blocks apoptosis induction by FasL.

FasL-induced apoptosis is important in elimination of virus-infected cells and cancer cells by natural killer cells and cytotoxic T lymphocytes; an alternative mechanism involves perforin and granzymes<sup>14-16</sup>. Peripheral blood natural killer cells triggered marked cell death in Jurkat T leukaemia cells (Fig. 3d); DcR3-Fc and Fas-Fc each reduced killing of target cells from  $\sim 65\%$  to  $\sim 30\%$ , with half-maximal inhibition at  $\sim 1 \mu\text{g ml}^{-1}$ ; the residual killing was probably mediated by the perforin/granzyme pathway. Thus, DcR3 binding blocks FasL-dependent natural killer cell activity. Higher DcR3-Fc and Fas-Fc concentrations were required to block natural killer cell activity compared with those required to block soluble FasL activity, which is consistent with the greater potency of membrane-associated FasL compared with soluble FasL<sup>17</sup>.

Given the role of immune-cytotoxic cells in elimination of tumour cells and the fact that DcR3 can act as an inhibitor of FasL, we proposed that DcR3 expression might contribute to the ability of some tumours to escape immune-cytotoxic attack. As genomic amplification frequently contributes to tumorigenesis, we investigated whether the DcR3 gene is amplified in cancer. We analysed DcR3 gene-copy number by quantitative polymerase chain



**Figure 1** Primary structure and expression of human DcR3. **a**, Alignment of the amino-acid sequences of DcR3 and of osteoprotegerin (OPG); the C-terminal 101 residues of OPG are not shown. The putative signal cleavage site (arrow), the cysteine-rich domains (CRD 1-4), and the N-linked glycosylation site (asterisk) are shown. **b**, Expression of DcR3 mRNA. Northern hybridization analysis was done using the DcR3 cDNA as a probe and blots of poly(A)<sup>+</sup> RNA (Clontech) from human fetal and adult tissues or cancer cell lines. PBL, peripheral blood lymphocyte.



**Figure 2** Interaction of DcR3 with FasL. **a**, 293 cells were transfected with pRK5 vector (top) or with pRK5 encoding full-length FasL (bottom), incubated with DcR3-Fc (solid line, shaded area), TNFR1-Fc (dotted line) or buffer control (dashed line) (the dashed and dotted lines overlap), and analysed for binding by FACS. Statistical analysis showed a significant difference ( $P < 0.001$ ) between the binding of DcR3-Fc to cells transfected with FasL or pRK5. PE, phycoerythrin-labelled cells. **b**, 293 cells were transfected as in **a** and metabolically labelled, and cell supernatants were immunoprecipitated with Fc-tagged TNFR1-Fc, DcR3-Fc or Fas-Fc and visualized by immunoblot with anti-FasL antibody. sFasL was loaded directly for comparison in the right-hand lane. **c**, Purified soluble FasL (sFasL) was immunoprecipitated with TNFR1-Fc, DcR3-Fc or Fas-Fc and resolved by gel filtration; column fractions were analysed in an assay that detects complexes containing DcR3-Fc and sFasL-Flag. **d**, Flag-tagged sFasL was incubated with DcR3-Fc or with buffer and resolved by gel filtration; column fractions were analysed in an assay that detects complexes containing DcR3-Fc and sFasL-Flag. **e**, Equilibrium binding of DcR3-Fc or Fas-Fc to sFasL-Flag. Inset, competition of DcR3-Fc with Fas-Fc for binding to sFasL-Flag.

reaction (PCR)<sup>18</sup> in genomic DNA from 35 primary lung and colon tumours, relative to pooled genomic DNA from peripheral blood leukocytes (PBLs) of 10 healthy donors. Eight of 18 lung tumours and 9 of 17 colon tumours showed DcR3 gene amplification, ranging from 2- to 18-fold (Fig. 4a, b). To confirm this result, we analysed the colon tumour DNAs with three more, independent sets of DcR3-based PCR primers and probes; we observed nearly the same amplification (data not shown).

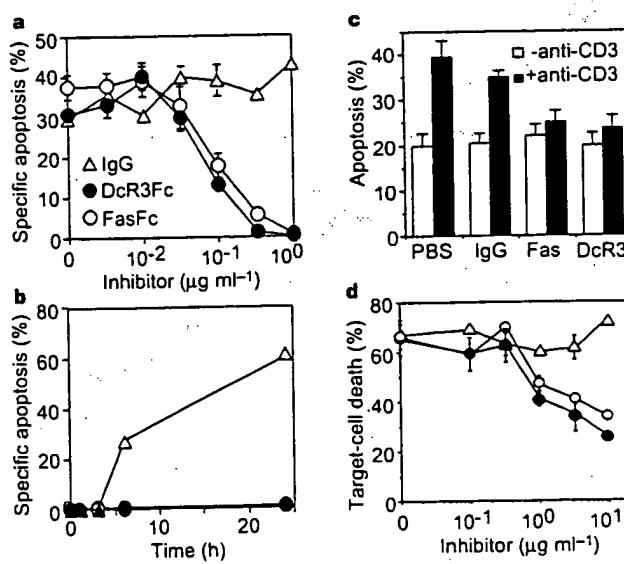
We then analysed DcR3 mRNA expression in primary tumour tissue sections by *in situ* hybridization. We detected DcR3 expression in 6 out of 15 lung tumours, 2 out of 2 colon tumours, 2 out of 5 breast tumours, and 1 out of 1 gastric tumour (data not shown). A section through a squamous-cell carcinoma of the lung is shown in Fig. 4c. DcR3 mRNA was localized to infiltrating malignant epithelium, but was essentially absent from adjacent stroma, indicating tumour-specific expression. Although the individual tumour specimens that we analysed for mRNA expression and gene amplification were different, the *in situ* hybridization results are consistent with the finding that the DcR3 gene is amplified frequently in tumours. SW480 colon carcinoma cells, which showed abundant DcR3 mRNA expression (Fig. 1b), also had marked DcR3 gene amplification, as shown by quantitative PCR (fourfold) and by Southern blot hybridization (fivefold) (data not shown).

If DcR3 amplification in cancer is functionally relevant, then DcR3 should be amplified more than neighbouring genomic regions that are not important for tumour survival. To test this,

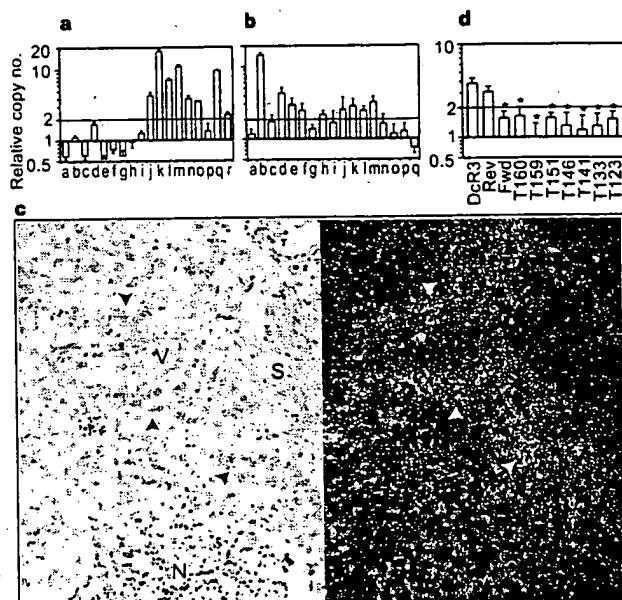
we mapped the human DcR3 gene by radiation-hybrid analysis; DcR3 showed linkage to marker AFM218xe7 (T160), which maps to chromosome position 20q13. Next, we isolated from a bacterial artificial chromosome (BAC) library a human genomic clone that carries DcR3, and sequenced the ends of the clone's insert. We then determined, from the nine colon tumours that showed twofold or greater amplification of DcR3, the copy number of the DcR3-flanking sequences (reverse and forward) from the BAC, and of seven genomic markers that span chromosome 20 (Fig. 4d). The DcR3-linked reverse marker showed an average amplification of roughly threefold, slightly less than the approximately fourfold amplification of DcR3; the other markers showed little or no amplification. These data indicate that DcR3 may be at the 'epicentre' of a distal chromosome 20 region that is amplified in colon cancer, consistent with the possibility that DcR3 amplification promotes tumour survival.

Our results show that DcR3 binds specifically to FasL and inhibits FasL activity. We did not detect DcR3 binding to several other TNF-ligand-family members; however, this does not rule out the possibility that DcR3 interacts with other ligands, as do some other TNFR family members, including OPG<sup>2,19</sup>.

FasL is important in regulating the immune response; however, little is known about how FasL function is controlled. One mechanism involves the molecule cFLIP, which modulates apoptosis signalling downstream of Fas<sup>20</sup>. A second mechanism involves proteolytic shedding of FasL from the cell surface<sup>17</sup>. DcR3 competes with Fas for



**Figure 3** Inhibition of FasL activity by DcR3. **a**, Human Jurkat T leukaemia cells were incubated with Flag-tagged soluble FasL (sFasL: 5 ng ml<sup>-1</sup>) oligomerized with anti-Flag antibody (0.1 μg ml<sup>-1</sup>) in the presence of the proposed inhibitors DcR3-Fc, Fas-Fc or human IgG1 and assayed for apoptosis (mean ± s.e.m. of triplicates). **b**, Jurkat cells were incubated with sFasL-Flag plus anti-Flag antibody as in a, in presence of 1 μg ml<sup>-1</sup> DcR3-Fc (filled circles), Fas-Fc (open circles) or human IgG1 (triangles), and apoptosis was determined at the indicated time points. **c**, Peripheral blood T cells were stimulated with PHA and interleukin-2, followed by control (white bars) or anti-CD3 antibody (filled bars), together with phosphate-buffered saline (PBS), human IgG1, Fas-Fc, or DcR3-Fc (10 μg ml<sup>-1</sup>). After 16 h, apoptosis of CD4<sup>+</sup> cells was determined (mean ± s.e.m. of results from five donors). **d**, Peripheral blood natural killer cells were incubated with <sup>51</sup>Cr-labelled Jurkat cells in the presence of DcR3-Fc (filled circles), Fas-Fc (open circles) or human IgG1 (triangles), and target-cell death was determined by release of <sup>51</sup>Cr (mean ± s.e.d. for two donors, each in triplicate).



**Figure 4** Genomic amplification of DcR3 in tumours. **a**, Lung cancers, comprising eight adenocarcinomas (c, d, f, g, h, i, k, r), seven squamous-cell carcinomas (a, e, m, n, o, p, q), one non-small-cell carcinoma (b), one small-cell carcinoma (j), and one bronchial adenocarcinoma (l). The data are means ± s.d. of 2 experiments done in duplicate. **b**, Colon tumours, comprising 17 adenocarcinomas. Data are means ± s.e.m. of five experiments done in duplicate. **c**, *In situ* hybridization analysis of DcR3 mRNA expression in a squamous-cell carcinoma of the lung. A representative bright-field image (left) and the corresponding dark-field image (right) show DcR3 mRNA over infiltrating malignant epithelium (arrowheads). Adjacent non-malignant stroma (S), blood vessel (V) and necrotic tumour tissue (N) are also shown. **d**, Average amplification of DcR3 compared with amplification of neighbouring genomic regions (reverse and forward, Rev and Fwd), the DcR3-linked marker T160, and other chromosome-20 markers, in the nine colon tumours showing DcR3 amplification of twofold or more (b). Data are from two experiments done in duplicate. Asterisk indicates  $P < 0.01$  for a Student's *t*-test comparing each marker with DcR3.

FasL binding; hence, it may represent a third mechanism of extracellular regulation of FasL activity. A decoy receptor that modulates the function of the cytokine interleukin-1 has been described<sup>21</sup>. In addition, two decoy receptors that belong to the TNFR family, DcR1 and DcR2, regulate the FasL-related apoptosis-inducing molecule Apo2L<sup>22</sup>. Unlike DcR1 and DcR2, which are membrane-associated proteins, DcR3 is directly secreted into the extracellular space. One other secreted TNFR-family member is OPG<sup>3</sup>, which shares greater sequence homology with DcR3 (31%) than do DcR1 (17%) or DcR2 (19%); OPG functions as a third decoy for Apo2L<sup>19</sup>. Thus, DcR3 and OPG define a new subset of TNFR-family members that function as secreted decoys to modulate ligands that induce apoptosis. Pox viruses produce soluble TNFR homologues that neutralize specific TNF-family ligands, thereby modulating the antiviral immune response<sup>2</sup>. Our results indicate that a similar mechanism, namely, production of a soluble decoy receptor for FasL, may contribute to immune evasion by certain tumours. □

#### Methods

**Isolation of DcR3 cDNA.** Several overlapping ESTs in GenBank (accession numbers AA025672, AA025673 and W67560) and in Lifeseq™ (Incyte Pharmaceuticals; accession numbers 1339238, 1533571, 1533650, 1542861, 1789372 and 2207027) showed similarity to members of the TNFR family. We screened human cDNA libraries by PCR with primers based on the region of EST consensus; fetal lung was positive for a product of the expected size. By hybridization to a PCR-generated probe based on the ESTs, one positive clone (DNA30942) was identified. When searching for potential alternatively spliced forms of DcR3 that might encode a transmembrane protein, we isolated 50 more clones; the coding regions of these clones were identical in size to that of the initial clone (data not shown).

**Fc-fusion proteins (immunoadhesins).** The entire DcR3 sequence, or the ectodomain of Fas or TNFR1, was fused to the hinge and Fc region of human IgG1, expressed in insect SF9 cells or in human 293 cells, and purified as described<sup>23</sup>.

**Fluorescence-activated cell sorting (FACS) analysis.** We transfected 293 cells using calcium phosphate or Effectene (Qiagen) with pRK5 vector or pRK5 encoding full-length human FasL<sup>4</sup> (2 µg), together with pRK5 encoding CrmA (2 µg) to prevent cell death. After 16 h, the cells were incubated with biotinylated DcR3-Fc or TNFR1-Fc and then with phycoerythrin-conjugated streptavidin (GibcoBRL), and were assayed by FACS. The data were analysed by Kolmogorov-Smirnov statistical analysis. There was some detectable staining of vector-transfected cells by DcR3-Fc; as these cells express little FasL (data not shown), it is possible that DcR3 recognized some other factor that is expressed constitutively on 293 cells.

**Immunoprecipitation.** Human 293 cells were transfected as above, and metabolically labelled with [<sup>35</sup>S]cysteine and [<sup>35</sup>S]methionine (0.5 mCi; Amersham). After 16 h of culture in the presence of z-VAD-fmk (10 µM; Amersham), the medium was immunoprecipitated with DcR3-Fc, Fas-Fc or TNFR1-Fc (5 µg), followed by protein A-Sepharose (Repligen). The precipitates were resolved by SDS-PAGE and visualized on a phosphorimager (Fuji BAS2000). Alternatively, purified, Flag-tagged soluble FasL (1 µg) (Alexis) was incubated with each Fc-fusion protein (1 µg), precipitated with protein A-Sepharose, resolved by SDS-PAGE and visualized by immunoblotting with rabbit anti-FasL antibody (Oncogene Research).

**Analysis of complex formation.** Flag-tagged soluble FasL (25 µg) was incubated with buffer or with DcR3-Fc (40 µg) for 1.5 h at 24 °C. The reaction was loaded onto a Superdex 200 HR 10/30 column (Pharmacia) and developed with PBS; 0.6-ml fractions were collected. The presence of DcR3-Fc-FasL complex in each fraction was analysed by placing 100 µl aliquots into microtitre wells precoated with anti-human IgG (Boehringer) to capture DcR3-Fc, followed by detection with biotinylated anti-Flag antibody Bio M2 (Kodak) and streptavidin-horseradish peroxidase (Amersham). Calibration of the column indicated an apparent relative molecular mass of the complex of 420K (data not shown), which is consistent with a stoichiometry of two DcR3-Fc homodimers to two soluble FasL homotrimers.

**Equilibrium binding analysis.** Microtitre wells were coated with anti-human

IgG, blocked with 2% BSA in PBS. DcR3-Fc or Fas-Fc was added, followed by serially diluted Flag-tagged soluble FasL. Bound ligand was detected with anti-Flag antibody as above. In the competition assay, Fas-Fc was immobilized as above, and the wells were blocked with excess IgG1 before addition of Flag-tagged soluble FasL plus DcR3-Fc.

**T-cell AICD.** CD3<sup>+</sup> lymphocytes were isolated from peripheral blood of individual donors using anti-CD3 magnetic beads (Miltenyi Biotech), stimulated with phytohaemagglutinin (PHA; 2 µg ml<sup>-1</sup>) for 24 h, and cultured in the presence of interleukin-2 (100 U ml<sup>-1</sup>) for 5 days. The cells were plated in wells coated with anti-CD3 antibody (Pharmingen) and analysed for apoptosis 16 h later by FACS analysis of annexin-V-binding of CD4<sup>+</sup> cells<sup>24</sup>.

**Natural killer cell activity.** Natural killer cells were isolated from peripheral blood of individual donors using anti-CD56 magnetic beads (Miltenyi Biotech), and incubated for 16 h with <sup>51</sup>Cr-loaded Jurkat cells at an effector-to-target ratio of 1:1 in the presence of DcR3-Fc, Fas-Fc or human IgG1. Target-cell death was determined by release of <sup>51</sup>Cr in effector-target co-cultures relative to release of <sup>51</sup>Cr by detergent lysis of equal numbers of Jurkat cells.

**Gene-amplification analysis.** Surgical specimens were provided by J. Kern (lung tumours) and P. Quirke (colon tumours). Genomic DNA was extracted (Qiagen) and the concentration was determined using Hoechst dye 33258 intercalation fluorometry. Amplification was determined by quantitative PCR<sup>18</sup> using a TaqMan instrument (ABI). The method was validated by comparison of PCR and Southern hybridization data for the Myc and HER-2 oncogenes (data not shown). Gene-specific primers and fluorogenic probes were designed on the basis of the sequence of DcR3 or of nearby regions identified on a BAC carrying the human DcR3 gene; alternatively, primers and probes were based on Stanford Human Genome Center marker AFM218xe7 (T160), which is linked to DcR3 (likelihood score = 5.4), SHGC-36268 (T159), the nearest available marker which maps to ~500 kilobases from T160, and five extra markers that span chromosome 20. The DcR3-specific primer sequences were 5'-CTTCTTCGCGACGCTG-3' and 5'-ATCACGCCGGCACAG-3' and the fluorogenic probe sequence was 5'-(FAM)-ACACGATGCGTGCTCCAAGCAG AAp-(TAMARA), where FAM is 5'-fluorescein phosphoramidite. Relative gene-copy numbers were derived using the formula  $2^{(\Delta CT)}$ , where  $\Delta CT$  is the difference in amplification cycles required to detect DcR3 in peripheral blood lymphocyte DNA compared to test DNA.

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## Crystal structure of the ATP-binding subunit of an ABC transporter

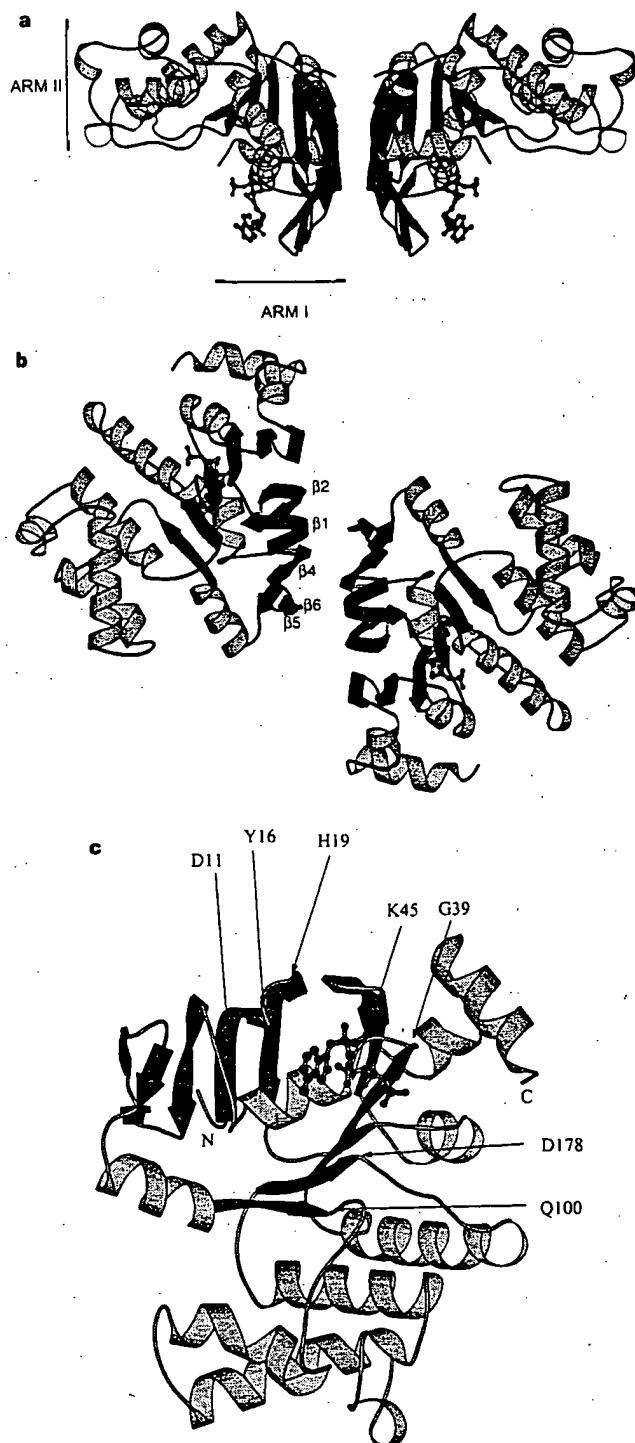
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ABC transporters (also known as traffic ATPases) form a large family of proteins responsible for the translocation of a variety of compounds across membranes of both prokaryotes and eukaryotes<sup>1</sup>. The recently completed *Escherichia coli* genome sequence revealed that the largest family of paralogous *E. coli* proteins is composed of ABC transporters<sup>2</sup>. Many eukaryotic proteins of medical significance belong to this family, such as the cystic fibrosis transmembrane conductance regulator (CFTR), the P-glycoprotein (or multidrug-resistance protein) and the heterodimeric transporter associated with antigen processing (Tap1–Tap2). Here we report the crystal structure at 1.5 Å resolution of HisP, the ATP-binding subunit of the histidine permease, which is an ABC transporter from *Salmonella typhimurium*. We correlate the details of this structure with the biochemical, genetic and biophysical properties of the wild-type and several mutant HisP proteins. The structure provides a basis for understanding properties of ABC transporters and of defective CFTR proteins.

ABC transporters contain four structural domains: two nucleotide-binding domains (NBDs), which are highly conserved throughout the family, and two transmembrane domains<sup>1</sup>. In prokaryotes these domains are often separate subunits which are assembled into a membrane-bound complex; in eukaryotes the domains are generally fused into a single polypeptide chain. The periplasmic histidine permease of *S. typhimurium* and *E. coli*<sup>1,3–8</sup> is a well-characterized ABC transporter that is a good model for this superfamily. It consists of a membrane-bound complex, HisQMP<sub>2</sub>, which comprises integral membrane subunits, HisQ and HisM, and two copies of HisP, the ATP-binding subunit. HisP, which has properties intermediate between those of integral and peripheral membrane proteins<sup>9</sup>, is accessible from both sides of the membrane, presumably by its interaction with HisQ and HisM<sup>6</sup>. The two HisP subunits form a dimer, as shown by their cooperativity in ATP hydrolysis<sup>6</sup>, the requirement for both subunits to be present for activity<sup>8</sup>, and the formation of a HisP dimer upon chemical cross-linking. Soluble HisP also forms a dimer<sup>3</sup>. HisP has been purified and characterized in an active soluble form<sup>3</sup> which can be reconstituted into a fully active membrane-bound complex<sup>8</sup>.

The overall shape of the crystal structure of the HisP monomer is that of an 'L' with two thick arms (arm I and arm II); the ATP-binding pocket is near the end of arm I (Fig. 1). A six-stranded β-sheet (β3 and β8–β12) spans both arms of the L, with a domain of a α- plus β-type structure (β1, β2, β4–β7, α1 and α2) on one side (within arm I) and a domain of mostly α-helices (α3–α9) on the



**Figure 1** Crystal structure of HisP. **a**, View of the dimer along an axis perpendicular to its two-fold axis. The top and bottom of the dimer are suggested to face towards the periplasmic and cytoplasmic sides, respectively (see text). The thickness of arm II is about 25 Å, comparable to that of membrane. α-Helices are shown in orange and β-sheets in green. **b**, View along the two-fold axis of the HisP dimer, showing the relative displacement of the monomers not apparent in **a**. The β-strands at the dimer interface are labelled. **c**, View of one monomer from the bottom of arm I, as shown in **a**, towards arm II, showing the ATP-binding pocket. **a–c**, The protein and the bound ATP are in 'ribbon' and 'ball-and-stick' representations, respectively. Key residues discussed in the text are indicated in **c**. These figures were prepared with MOLSCRIPT<sup>20</sup>. N, amino terminus; C, C terminus.

## NOVEL APPROACH TO QUANTITATIVE POLYMERASE CHAIN REACTION USING REAL-TIME DETECTION: APPLICATION TO THE DETECTION OF GENE AMPLIFICATION IN BREAST CANCER

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Gene amplification is a common event in the progression of human cancers, and amplified oncogenes have been shown to have diagnostic, prognostic and therapeutic relevance. A kinetic quantitative polymerase-chain-reaction (PCR) method, based on fluorescent TaqMan methodology and a new instrument (ABI Prism 7700 Sequence Detection System) capable of measuring fluorescence in real-time, was used to quantify gene amplification in tumor DNA. Reactions are characterized by the point during cycling when PCR amplification is still in the exponential phase, rather than the amount of PCR product accumulated after a fixed number of cycles. None of the reaction components is limited during the exponential phase, meaning that values are highly reproducible in reactions starting with the same copy number. This greatly improves the precision of DNA quantification. Moreover, real-time PCR does not require post-PCR sample handling, thereby preventing potential PCR-product carry-over contamination; it possesses a wide dynamic range of quantification and results in much faster and higher sample throughput. The real-time PCR method, was used to develop and validate a simple and rapid assay for the detection and quantification of the 3 most frequently amplified genes (*myc*, *ccnd1* and *erbB2*) in breast tumors. Extra copies of *myc*, *ccnd1* and *erbB2* were observed in 10, 23 and 15%, respectively, of 108 breast-tumor DNA; the largest observed numbers of gene copies were 4.6, 18.6 and 15.1, respectively. These results correlated well with those of Southern blotting. The use of this new semi-automated technique will make molecular analysis of human cancers simpler and more reliable, and should find broad applications in clinical and research settings. *Int. J. Cancer* 78:661–666, 1998.

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Gene amplification plays an important role in the pathogenesis of various solid tumors, including breast cancer, probably because over-expression of the amplified target genes confers a selective advantage. The first technique used to detect genomic amplification was cytogenetic analysis. Amplification of several chromosome regions, visualized either as extrachromosomal double minutes (dmins) or as integrated homogeneously staining regions (HSRs), are among the main visible cytogenetic abnormalities in breast tumors. Other techniques such as comparative genomic hybridization (CGH) (Kallioniemi *et al.*, 1994) have also been used in broad searches for regions of increased DNA copy numbers in tumor cells, and have revealed some 20 amplified chromosome regions in breast tumors. Positional cloning efforts are underway to identify the critical gene(s) in each amplified region. To date, genes known to be amplified frequently in breast cancers include *myc* (8q24), *ccnd1* (11q13), and *erbB2* (17q12-q21) (for review, see Bièche and Lidereau, 1995).

Amplification of the *myc*, *ccnd1*, and *erbB2* proto-oncogenes should have clinical relevance in breast cancer, since independent studies have shown that these alterations can be used to identify sub-populations with a worse prognosis (Berns *et al.*, 1992; Schuuring *et al.*, 1992; Slamon *et al.*, 1987). Muss *et al.* (1994) suggested that these gene alterations may also be useful for the prediction and assessment of the efficacy of adjuvant chemotherapy and hormone therapy.

However, published results diverge both in terms of the frequency of these alterations and their clinical value. For instance, over 500 studies in 10 years have failed to resolve the controversy

surrounding the link suggested by Slamon *et al.* (1987) between *erbB2* amplification and disease progression. These discrepancies are partly due to the clinical, histological and ethnic heterogeneity of breast cancer, but technical considerations are also probably involved.

Specific genes (DNA) were initially quantified in tumor cells by means of blotting procedures such as Southern and slot blotting. These batch techniques require large amounts of DNA (5–10 µg/reaction) to yield reliable quantitative results. Furthermore, meticulous care is required at all stages of the procedures to generate blots of sufficient quality for reliable dosage analysis. Recently, PCR has proven to be a powerful tool for quantitative DNA analysis, especially with minimal starting quantities of tumor samples (small, early-stage tumors and formalin-fixed, paraffin-embedded tissues).

Quantitative PCR can be performed by evaluating the amount of product either after a given number of cycles (end-point quantitative PCR) or after a varying number of cycles during the exponential phase (kinetic quantitative PCR). In the first case, an internal standard distinct from the target molecule is required to ascertain PCR efficiency. The method is relatively easy but implies generating, quantifying and storing an internal standard for each gene studied. Nevertheless, it is the most frequently applied method to date.

One of the major advantages of the kinetic method is its rapidity in quantifying a new gene, since no internal standard is required (an external standard curve is sufficient). Moreover, the kinetic method has a wide dynamic range (at least 5 orders of magnitude), giving an accurate value for samples differing in their copy number. Unfortunately, the method is cumbersome and has therefore been rarely used. It involves aliquot sampling of each assay mix at regular intervals and quantifying, for each aliquot, the amplification product. Interest in the kinetic method has been stimulated by a novel approach using fluorescent TaqMan methodology and a new instrument (ABI Prism 7700 Sequence Detection System) capable of measuring fluorescence in real time (Gibson *et al.*, 1996; Heid *et al.*, 1996). The TaqMan reaction is based on the 5' nuclease assay first described by Holland *et al.* (1991). The latter uses the 5' nuclease activity of Taq polymerase to cleave a specific fluorogenic oligonucleotide probe during the extension phase of PCR. The approach uses dual-labeled fluorogenic hybridization probes (Lee *et al.*, 1993). One fluorescent dye, co-valently linked to the 5' end of the oligonucleotide, serves as a reporter [FAM (i.e., 6-carboxy-fluorescein)] and its emission spectrum is quenched by a second fluorescent dye, TAMRA (i.e., 6-carboxy-tetramethyl-rhodamine) attached to the 3' end. During the extension phase of the PCR

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cycle, the fluorescent hybridization probe is hydrolyzed by the 5'-3' nucleolytic activity of DNA polymerase. Nuclease degradation of the probe releases the quenching of FAM fluorescence emission, resulting in an increase in peak fluorescence emission. The fluorescence signal is normalized by dividing the emission intensity of the reporter dye (FAM) by the emission intensity of a reference dye (i.e., ROX, 6-carboxy-X-rhodamine) included in TaqMan buffer, to obtain a ratio defined as the Rn (normalized reporter) for a given reaction tube. The use of a sequence detector enables the fluorescence spectra of all 96 wells of the thermal cycler to be measured continuously during PCR amplification.

The real-time PCR method offers several advantages over other current quantitative PCR methods (Celi *et al.*, 1994): (i) the probe-based homogeneous assay provides a real-time method for detecting only specific amplification products, since specific hybridization of both the primers and the probe is necessary to generate a signal; (ii) the  $C_t$  (threshold cycle) value used for quantification is measured when PCR amplification is still in the log phase of PCR product accumulation. This is the main reason why  $C_t$  is a more reliable measure of the starting copy number than are end-point measurements, in which a slight difference in a limiting component can have a drastic effect on the amount of product; (iii) use of  $C_t$  values gives a wider dynamic range (at least 5 orders of magnitude), reducing the need for serial dilution; (iv) The real-time PCR method is run in a closed-tube system and requires no post-PCR sample handling, thus avoiding potential contamination; (v) the system is highly automated, since the instrument continuously measures fluorescence in all 96 wells of the thermal cycler during PCR amplification and the corresponding software processes, and analyzes the fluorescence data; (vi) the assay is rapid, as results are available just one minute after thermal cycling is complete; (vii) the sample throughput of the method is high, since 96 reactions can be analyzed in 2 hr.

Here, we applied this semi-automated procedure to determine the copy numbers of the 3 most frequently amplified genes in breast tumors (*myc*, *cnd1* and *erbB2*), as well as 2 genes (*alb* and *app*) located in a chromosome region in which no genetic changes have been observed in breast tumors. The results for 108 breast tumors were compared with previous Southern-blot data for the same samples.

#### MATERIAL AND METHODS

##### *Tumor and blood samples*

Samples were obtained from 108 primary breast tumors removed surgically from patients at the Centre René Huguenin; none of the patients had undergone radiotherapy or chemotherapy. Immediately after surgery, the tumor samples were placed in liquid nitrogen until extraction of high-molecular-weight DNA. Patients were included in this study if the tumor sample used for DNA preparation contained more than 60% of tumor cells (histological analysis). A blood sample was also taken from 18 of the same patients.

DNA was extracted from tumor tissue and blood leukocytes according to standard methods.

##### *Real-time PCR*

**Theoretical basis.** Reactions are characterized by the point during cycling when amplification of the PCR product is first detected, rather than by the amount of PCR product accumulated after a fixed number of cycles. The higher the starting copy number of the genomic DNA target, the earlier a significant increase in fluorescence is observed. The parameter  $C_t$  (threshold cycle) is defined as the fractional cycle number at which the fluorescence generated by cleavage of the probe passes a fixed threshold above baseline. The target gene copy number in unknown samples is quantified by measuring  $C_t$  and by using a standard curve to determine the starting copy number. The precise amount of genomic DNA (based on optical density) and its quality (i.e., lack

of extensive degradation) are both difficult to assess. We therefore also quantified a control gene (*alb*) mapping to chromosome region 4q11-q13, in which no genetic alterations have been found in breast-tumor DNA by means of CGH (Kallioniemi *et al.*, 1994).

Thus, the ratio of the copy number of the target gene to the copy number of the *alb* gene normalizes the amount and quality of genomic DNA. The ratio defining the level of amplification is termed "N", and is determined as follows:

$$N = \frac{\text{copy number of target gene } (app, myc, cnd1, erbB2)}{\text{copy number of reference gene } (alb)}$$

**Primers, probes, reference human genomic DNA and PCR consumables.** Primers and probes were chosen with the assistance of the computer programs Oligo 4.0 (National Biosciences, Plymouth, MN), EuGene (Daniben Systems, Cincinnati, OH) and Primer Express (Perkin-Elmer Applied Biosystems, Foster City, CA).

Primers were purchased from DNAgency (Malvern, PA) and probes from Perkin-Elmer Applied Biosystems.

Nucleotide sequences for the oligonucleotide hybridization probes and primers are available on request.

The TaqMan PCR Core reagent kit, MicroAmp optical tubes, and MicroAmp caps were from Perkin-Elmer Applied Biosystems.

**Standard-curve construction.** The kinetic method requires a standard curve. The latter was constructed with serial dilutions of specific PCR products, according to Piatak *et al.* (1993). In practice, each specific PCR product was obtained by amplifying 20 ng of a standard human genomic DNA (Boehringer, Mannheim, Germany) with the same primer pairs as those used later for real-time quantitative PCR. The 5 PCR products were purified using MicroSpin S-400 HR columns (Pharmacia, Uppsala, Sweden) electrophoresed through an acrylamide gel and stained with ethidium bromide to check their quality. The PCR products were then quantified spectrophotometrically and pooled, and serially diluted 10-fold in mouse genomic DNA (Clontech, Palo Alto, CA) at a constant concentration of 2 ng/ $\mu$ l. The standard curve used for real-time quantitative PCR was based on serial dilutions of the pool of PCR products ranging from  $10^{-7}$  ( $10^5$  copies of each gene) to  $10^{-10}$  ( $10^2$  copies). This series of diluted PCR products was aliquoted and stored at  $-80^{\circ}\text{C}$  until use.

The standard curve was validated by analyzing 2 known quantities of calibrator human genomic DNA (20 ng and 50 ng).

**PCR amplification.** Amplification mixes (50  $\mu$ l) contained the sample DNA (around 20 ng, around 6600 copies of disomic genes), 10X TaqMan buffer (5  $\mu$ l), 200  $\mu$ M dATP, dCTP, dGTP, and 400  $\mu$ M dUTP, 5 mM MgCl<sub>2</sub>, 1.25 units of AmpliTaq Gold, 0.5 units of AmpErase uracil N-glycosylase (UNG), 200 nM each primer and 100 nM probe. The thermal cycling conditions comprised 2 min at  $50^{\circ}\text{C}$  and 10 min at  $95^{\circ}\text{C}$ . Thermal cycling consisted of 40 cycles at  $95^{\circ}\text{C}$  for 15 s and  $65^{\circ}\text{C}$  for 1 min. Each assay included: a standard curve (from  $10^5$  to  $10^2$  copies) in duplicate, a no-template control, 20 ng and 50 ng of calibrator human genomic DNA (Boehringer) in triplicate, and about 20 ng of unknown genomic DNA in triplicate (26 samples can thus be analyzed on a 96-well microplate). All samples with a coefficient of variation (CV) higher than 10% were retested.

All reactions were performed in the ABI Prism 7700 Sequence Detection System (Perkin-Elmer Applied Biosystems), which detects the signal from the fluorogenic probe during PCR.

**Equipment for real-time detection.** The 7700 system has a built-in thermal cycler and a laser directed via fiber optical cables to each of the 96 sample wells. A charge-coupled-device (CCD) camera collects the emission from each sample and the data are analyzed automatically. The software accompanying the 7700 system calculates  $C_t$  and determines the starting copy number in the samples.

**Determination of gene amplification.** Gene amplification was calculated as described above. Only samples with an N value higher than 2 were considered to be amplified.

## RESULTS

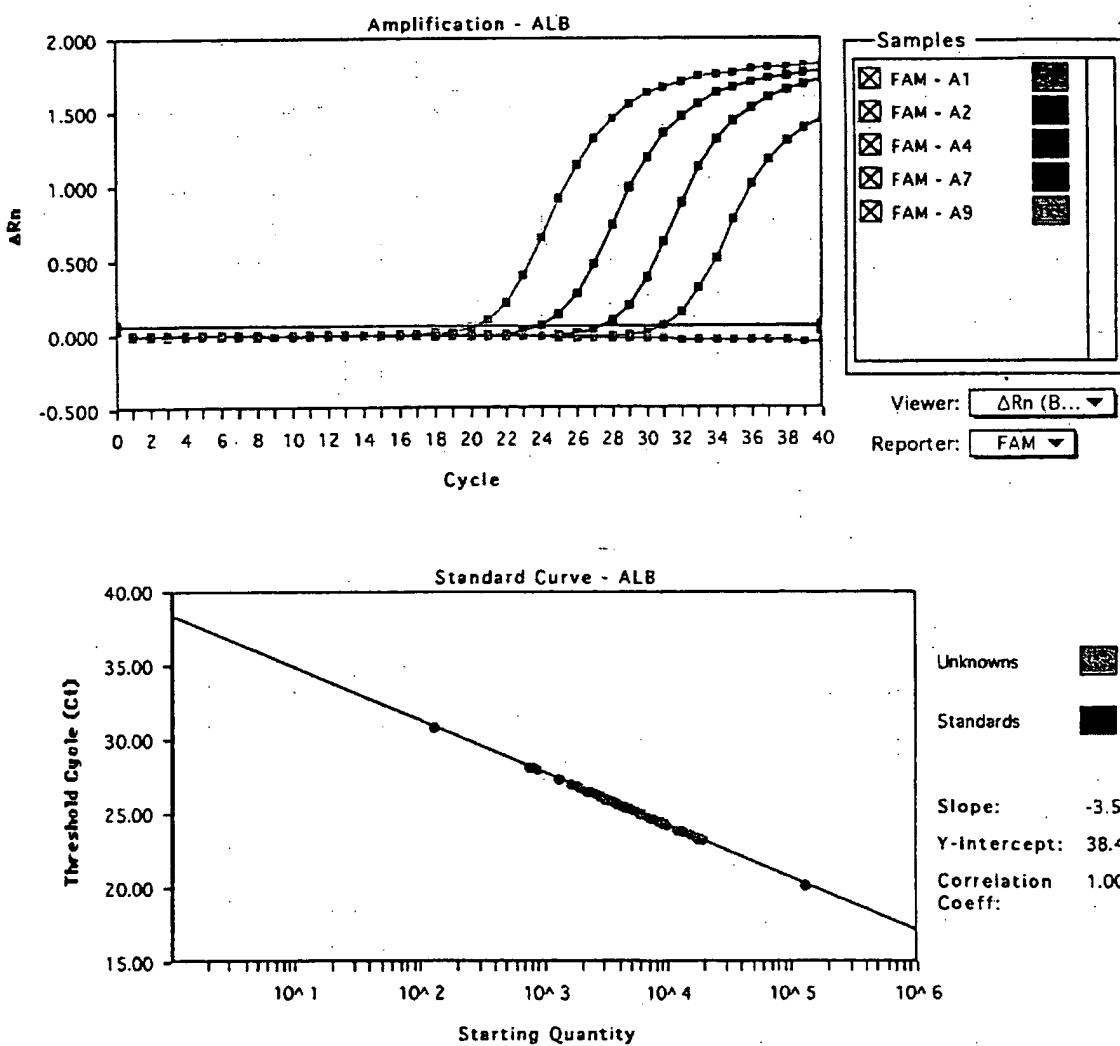
To validate the method, real-time PCR was performed on genomic DNA extracted from 108 primary breast tumors, and 18 normal leukocyte DNA samples from some of the same patients. The target genes were the *myc*, *ccnd1* and *erbB2* proto-oncogenes, and the  $\beta$ -amyloid precursor protein gene (*app*), which maps to a chromosome region (21q21.2) in which no genetic alterations have been found in breast tumors (Kallioniemi *et al.*, 1994). The reference disomic gene was the albumin gene (*alb*, chromosome 4q11-q13).

## Validation of the standard curve and dynamic range of real-time PCR

The standard curve was constructed from PCR products serially diluted in genomic mouse DNA at a constant concentration of 2 ng/ $\mu$ l. It should be noted that the 5 primer pairs chosen to analyze the 5 target genes do not amplify genomic mouse DNA (data not shown). Figure 1 shows the real-time PCR standard curve for the *alb* gene. The dynamic range was wide (at least 4 orders of magnitude), with samples containing as few as  $10^2$  copies or as many as  $10^5$  copies.

## Copy-number ratio of the 2 reference genes (*app* and *alb*)

The *app* to *alb* copy-number ratio was determined in 18 normal leukocyte DNA samples and all 108 primary breast-tumor DNA



**FIGURE 1** – Albumin (*alb*) gene dosage by real-time PCR. Top: Amplification plots for reactions with starting *alb* gene copy number ranging from  $10^5$  (A9),  $10^4$  (A7),  $10^3$  (A4) to  $10^2$  (A2) and a no-template control (A1). Cycle number is plotted vs. change in normalized reporter signal ( $\Delta Rn$ ). For each reaction tube, the fluorescence signal of the reporter dye (FAM) is divided by the fluorescence signal of the passive reference dye (ROX), to obtain a ratio defined as the normalized reporter signal ( $Rn$ ).  $\Delta Rn$  represents the normalized reporter signal ( $Rn$ ) minus the baseline signal established in the first 15 PCR cycles.  $\Delta Rn$  increases during PCR as *alb* PCR product copy number increases until the reaction reaches a plateau.  $C_t$  (threshold cycle) represents the fractional cycle number at which a significant increase in  $Rn$  above a baseline signal (horizontal black line) can first be detected. Two replicate plots were performed for each standard sample, but the data for only one are shown here. Bottom: Standard curve plotting log starting copy number vs.  $C_t$  (threshold cycle). The black dots represent the data for standard samples plotted in duplicate and the red dots the data for unknown genomic DNA samples plotted in triplicate. The standard curve shows 4 orders of linear dynamic range.

samples. We selected these 2 genes because they are located in 2 chromosome regions (*app*, 21q21.2; *alb*, 4q11-q13) in which no obvious genetic changes (including gains or losses) have been observed in breast cancers (Kallioniemi *et al.*, 1994). The ratio for the 18 normal leukocyte DNA samples fell between 0.7 and 1.3 (mean  $1.02 \pm 0.21$ ), and was similar for the 108 primary breast-tumor DNA samples (0.6 to 1.6, mean  $1.06 \pm 0.25$ ), confirming that *alb* and *app* are appropriate reference disomic genes for breast-tumor DNA. The low range of the ratios also confirmed that the nucleotide sequences chosen for the primers and probes were not polymorphic, as mismatches of their primers or probes with the subject's DNA would have resulted in differential amplification.

#### *myc, ccnd1 and erbB2 gene dose in normal leukocyte DNA*

To determine the cut-off point for gene amplification in breast-cancer tissue, 18 normal leukocyte DNA samples were tested for the gene dose (N), calculated as described in "Material and Methods". The N value of these samples ranged from 0.5 to 1.3 (mean  $0.84 \pm 0.22$ ) for *myc*, 0.7 to 1.6 (mean  $1.06 \pm 0.23$ ) for *ccnd1* and 0.6 to 1.3 (mean  $0.91 \pm 0.19$ ) for *erbB2*. Since N values for *myc*, *ccnd1* and *erbB2* in normal leukocyte DNA consistently fell between 0.5 and 1.6, values of 2 or more were considered to represent gene amplification in tumor DNA.

#### *myc, ccnd1 and erbB2 gene dose in breast-tumor DNA*

*myc, ccnd1* and *erbB2* gene copy numbers in the 108 primary breast tumors are reported in Table I. Extra copies of *ccnd1* were more frequent (23%, 25/108) than extra copies of *erbB2* (15%, 16/108) and *myc* (10%, 11/108), and ranged from 2 to 18.6 for *ccnd1*, 2 to 15.1 for *erbB2*, and only 2 to 4.6 for the *myc* gene. Figure 2 and Table II represent tumors in which the *ccnd1* gene was amplified 16-fold (T145), 6-fold (T133) and non-amplified (T118). The 3 genes were never found to be co-amplified in the same tumor. *erbB2* and *ccnd1* were co-amplified in only 3 cases, *myc* and *ccnd1* in 2 cases and *myc* and *erbB2* in 1 case. This favors the hypothesis that gene amplifications are independent events in breast cancer. Interestingly, 5 tumors showed a decrease of at least 50% in the *erbB2* copy number (N < 0.5), suggesting that they bore deletions of the 17q21 region (the site of *erbB2*). No such decrease in copy number was observed with the other 2 proto-oncogenes.

#### *Comparison of gene dose determined by real-time quantitative PCR and Southern-blot analysis*

Southern-blot analysis of *myc*, *ccnd1* and *erbB2* amplifications had previously been done on the same 108 primary breast tumors. A perfect correlation between the results of real-time PCR and Southern blot was obtained for tumors with high copy numbers (N  $\geq 5$ ). However, there were cases (1 *myc*, 6 *ccnd1* and 4 *erbB2*) in which real-time PCR showed gene amplification whereas Southern-blot did not, but these were mainly cases with low extra copy numbers (N from 2 to 2.9).

#### DISCUSSION

The clinical applications of gene amplification assays are currently limited, but would certainly increase if a simple, standardized and rapid method were perfected. Gene amplification status has been studied mainly by means of Southern blotting, but this method is not sensitive enough to detect low-level gene amplification nor accurate enough to quantify the full range of amplification values. Southern blotting is also time-consuming, uses radioactive

reagents and requires relatively large amounts of high-quality genomic DNA, which means it cannot be used routinely in many laboratories. An amplification step is therefore required to determine the copy number of a given target gene from minimal quantities of tumor DNA (small early-stage tumors, cytopuncture specimens or formalin-fixed, paraffin-embedded tissues).

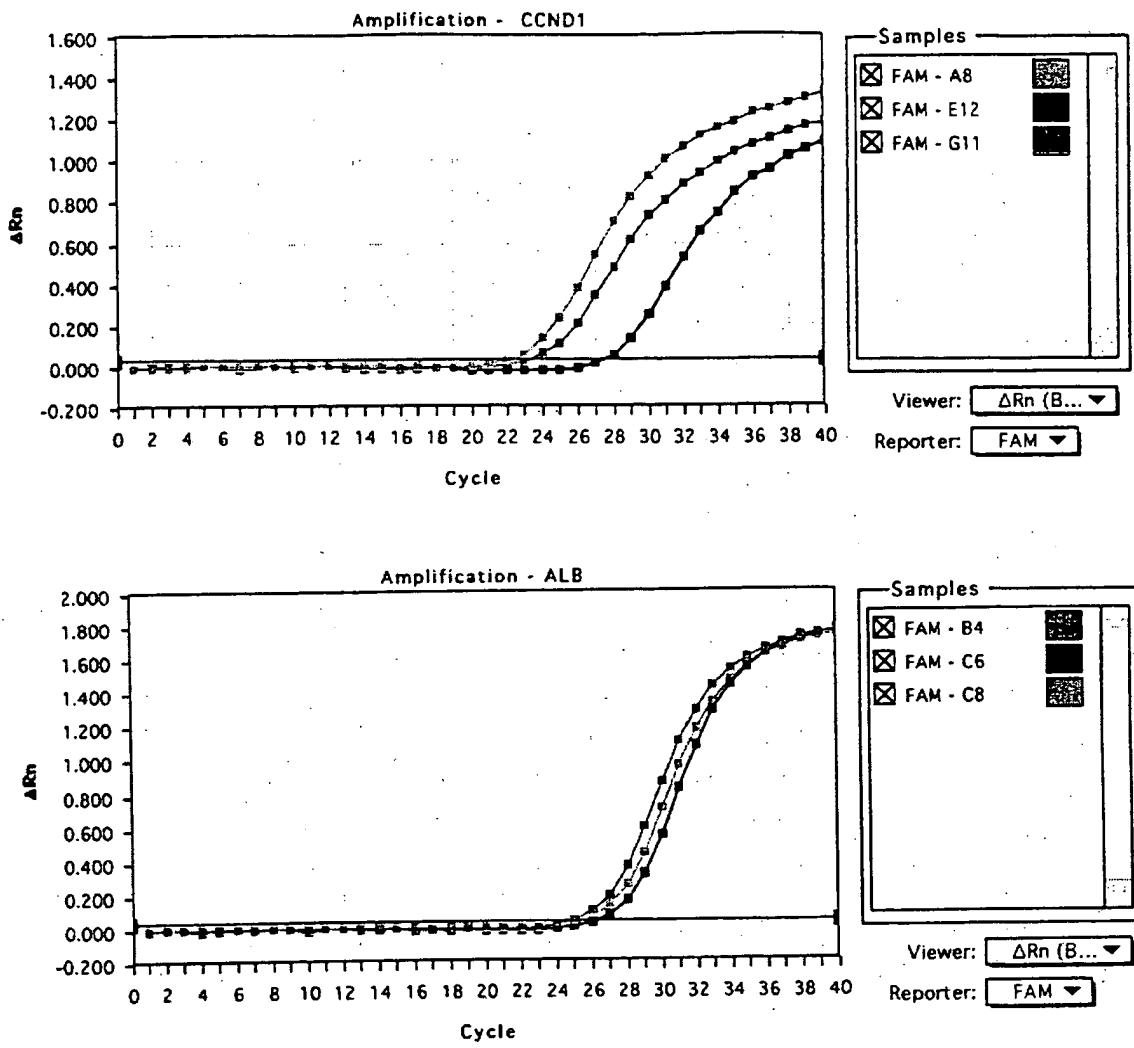
In this study, we validated a PCR method developed for the quantification of gene over-representation in tumors. The method, based on real-time analysis of PCR amplification, has several advantages over other PCR-based quantitative assays such as competitive quantitative PCR (Celi *et al.*, 1994). First, the real-time PCR method is performed in a closed-tube system, avoiding the risk of contamination by amplified products. Re-amplification of carryover PCR products in subsequent experiments can also be prevented by using the enzyme uracil N-glycosylase (UNG) (Longo *et al.*, 1990). The second advantage is the simplicity and rapidity of sample analysis, since no post-PCR manipulations are required. Our results show that the automated method is reliable. We found it possible to determine, in triplicate, the number of copies of a target gene in more than 100 tumors per day. Third, the system has a linear dynamic range of at least 4 orders of magnitude, meaning that samples do not have to contain equal starting amounts of DNA. This technique should therefore be suitable for analyzing formalin-fixed, paraffin-embedded tissues. Fourth, and above all, real-time PCR makes DNA quantification much more precise and reproducible, since it is based on  $C_t$  values rather than end-point measurement of the amount of accumulated PCR product. Indeed, the ABI Prism 7700 Sequence Detection System enables  $C_t$  to be calculated when PCR amplification is still in the exponential phase and when none of the reaction components is rate-limiting. The within-run CV of the  $C_t$  value for calibrator human DNA (5 replicates) was always below 5%, and the between-assay precision in 5 different runs was always below 10% (data not shown). In addition, the use of a standard curve is not absolutely necessary, since the copy number can be determined simply by comparing the  $C_t$  ratio of the target gene with that of reference genes. The results obtained by the 2 methods (with and without a standard curve) are similar in our experiments (data not shown). Moreover, unlike competitive quantitative PCR, real-time PCR does not require an internal control (the design and storage of internal controls and the validation of their amplification efficiency is laborious).

The only potential disadvantage of real-time PCR, like all other PCR-based methods and solid-matrix blotting techniques (Southern blots and dot blots) is that it cannot avoid dilution artifacts inherent in the extraction of DNA from tumor cells contained in heterogeneous tissue specimens. Only FISH and immunohistochemistry can measure alterations on a cell-by-cell basis (Pauletti *et al.*, 1996; Slamon *et al.*, 1989). However, FISH requires expensive equipment and trained personnel and is also time-consuming. Moreover, FISH does not assess gene expression and therefore cannot detect cases in which the gene product is over-expressed in the absence of gene amplification, which will be possible in the future by real-time quantitative RT-PCR. Immunohistochemistry is subject to considerable variations in the hands of different teams, owing to alterations of target proteins during the procedure, the different primary antibodies and fixation methods used and the criteria used to define positive staining.

The results of this study are in agreement with those reported in the literature. (i) Chromosome regions 4q11-q13 and 21q21.2 (which bear *alb* and *app*, respectively) showed no genetic alterations in the breast-cancer samples studied here, in keeping with the results of CGH (Kallioniemi *et al.*, 1994). (ii) We found that amplifications of these 3 oncogenes were independent events, as reported by other teams (Bergs *et al.*, 1992; Borg *et al.*, 1992). (iii) The frequency and degree of *myc* amplification in our breast tumor DNA series were lower than those of *ccnd1* and *erbB2* amplification, confirming the findings of Borg *et al.* (1992) and Courjal *et al.* (1997). (iv) The maxima of *ccnd1* and *erbB2* over-representation were 18-fold and 15-fold, also in keeping with earlier results (about

TABLE I - DISTRIBUTION OF AMPLIFICATION LEVEL (N) FOR *myc*, *ccnd1* AND *erbB2* GENES IN 108 HUMAN BREAST TUMORS

Gene	Amplification level (N)			
	<0.5	0.5-1.9	2-4.9	$\geq 5$
<i>myc</i>	0	97 (89.8%)	11 (10.2%)	0
<i>ccnd1</i>	0	83 (76.9%)	17 (15.7%)	8 (7.4%)
<i>erbB2</i>	5 (4.6%)	87 (80.6%)	8 (7.4%)	8 (7.4%)



Tumor	CCND1		ALB	
	$C_t$	Copy number	$C_t$	Copy number
T118	27.3	4605	26.5	4365
T133	23.2	61659	25.2	10092
T145	22.1	125892	25.6	7762

FIGURE 2 – *ccnd1* and *alb* gene dosage by real-time PCR in 3 breast tumor samples: T118 (E12, C6, black squares), T133 (G11, B4, red squares) and T145 (A8, C8, blue squares). Given the  $C_t$  of each sample, the initial copy number is inferred from the standard curve obtained during the same experiment. Triplicate plots were performed for each tumor sample, but the data for only one are shown here. The results are shown in Table II.

30-fold maximum) (Berns *et al.*, 1992; Borg *et al.*, 1992; Courjal *et al.*, 1997). (v) The *erbB2* copy numbers obtained with real-time PCR were in good agreement with data obtained with other quantitative PCR-based assays in terms of the frequency and degree of amplification (An *et al.*, 1995; Deng *et al.*, 1996; Valéron

*et al.*, 1996). Our results also correlate well with those recently published by Gelmini *et al.* (1997), who used the TaqMan system to measure *erbB2* amplification in a small series of breast tumors ( $n = 25$ ), but with an instrument (LS-50B luminescence spectrometer, Perkin-Elmer Applied Biosystems) which only allows end-

TABLE II - EXAMPLES OF *ccnd1* GENE DOSAGE RESULTS FROM 3 BREAST TUMORS<sup>1</sup>

Tumor	<i>ccnd1</i>			<i>alb</i>			<i>Nccnd1/alb</i>
	Copy number	Mean	SD	Copy number	Mean	SD	
T118	4525			4223			
	4605	4603	77	4365	4325	89	1.06
	4678			4387			
T133	59821			9787			
	61659	61100	1111	10092	10137	375	6.03
	61821			10533			
T145	128563			7321			
	125892	125392	3448	7762	7672	316	16.34
	121722			7933			

<sup>1</sup>For each sample, 3 replicate experiments were performed and the mean and the standard deviation (SD) was determined. The level of *ccnd1* gene amplification (*Nccnd1/alb*) is determined by dividing the average *ccnd1* copy number value by the average *alb* copy number value.

point measurement of fluorescence intensity. Here we report *myc* and *ccnd1* gene dosage in breast cancer by means of quantitative PCR. (vi) We found a high degree of concordance between real-time quantitative PCR and Southern blot analysis in terms of gene amplification, especially for samples with high copy numbers ( $\geq 5$ -fold). The slightly higher frequency of gene amplification (especially *ccnd1* and *erbB2*) observed by means of real-time quantitative PCR as compared with Southern-blot analysis may be explained by the higher sensitivity of the former method. However, we cannot rule out the possibility that some tumors with a few extra

gene copies observed in real-time PCR had additional copies of an arm or a whole chromosome (trisomy, tetrasomy or polysomy) rather than true gene amplification. These 2 types of genetic alteration (polysomy and gene amplification) could be easily distinguished in the future by using an additional probe located on the same chromosome arm, but some distance from the target gene. It is noteworthy that high gene copy numbers have the greatest prognostic significance in breast carcinoma (Borg *et al.*, 1992; Slamon *et al.*, 1987).

Finally, this technique can be applied to the detection of gene deletion as well as gene amplification. Indeed, we found a decreased copy number of *erbB2* (but not of the other 2 proto-oncogenes) in several tumors; *erbB2* is located in a chromosome region (17q21) reported to contain both deletions and amplifications in breast cancer (Bièche and Lidereau, 1995).

In conclusion, gene amplification in various cancers can be used as a marker of pre-neoplasia, also for early diagnosis of cancer, staging, prognostication and choice of treatment. Southern blotting is not sufficiently sensitive, and FISH is lengthy and complex. Real-time quantitative PCR overcomes both these limitations, and is a sensitive and accurate method of analyzing large numbers of samples in a short time. It should find a place in routine clinical gene dosage.

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# Genome-wide Study of Gene Copy Numbers, Transcripts, and Protein Levels in Pairs of Non-invasive and Invasive Human Transitional Cell Carcinomas\*

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Gain and loss of chromosomal material is characteristic of bladder cancer, as well as malignant transformation in general. The consequences of these changes at both the transcription and translation levels is at present unknown partly because of technical limitations. Here we have attempted to address this question in pairs of non-invasive and invasive human bladder tumors using a combination of technology that included comparative genomic hybridization, high density oligonucleotide array-based monitoring of transcript levels (5600 genes), and high resolution two-dimensional gel electrophoresis. The results showed that there is a gene dosage effect that in some cases superimposes on other regulatory mechanisms. This effect depended ( $p < 0.015$ ) on the magnitude of the comparative genomic hybridization change. In general (18 of 23 cases), chromosomal areas with more than 2-fold gain of DNA showed a corresponding increase in mRNA transcripts. Areas with loss of DNA, on the other hand, showed either reduced or unaltered transcript levels. Because most proteins resolved by two-dimensional gels are unknown it was only possible to compare mRNA and protein alterations in relatively few cases of well focused abundant proteins. With few exceptions we found a good correlation ( $p < 0.005$ ) between transcript alterations and protein levels. The implications, as well as limitations, of the approach are discussed. *Molecular & Cellular Proteomics* 1:37–45, 2002.

Aneuploidy is a common feature of most human cancers (1), but little is known about the genome-wide effect of this

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phenomenon at both the transcription and translation levels. High throughput array studies of the breast cancer cell line BT474 has suggested that there is a correlation between DNA copy numbers and gene expression in highly amplified areas (2), and studies of individual genes in solid tumors have revealed a good correlation between gene dose and mRNA or protein levels in the case of *c-erb-B2*, *cyclin d1*, *ems1*, and *N-myc* (3–5). However, a high cyclin D1 protein expression has been observed without simultaneous amplification (4), and a low level of *c-myc* copy number increase was observed without concomitant *c-myc* protein overexpression (6).

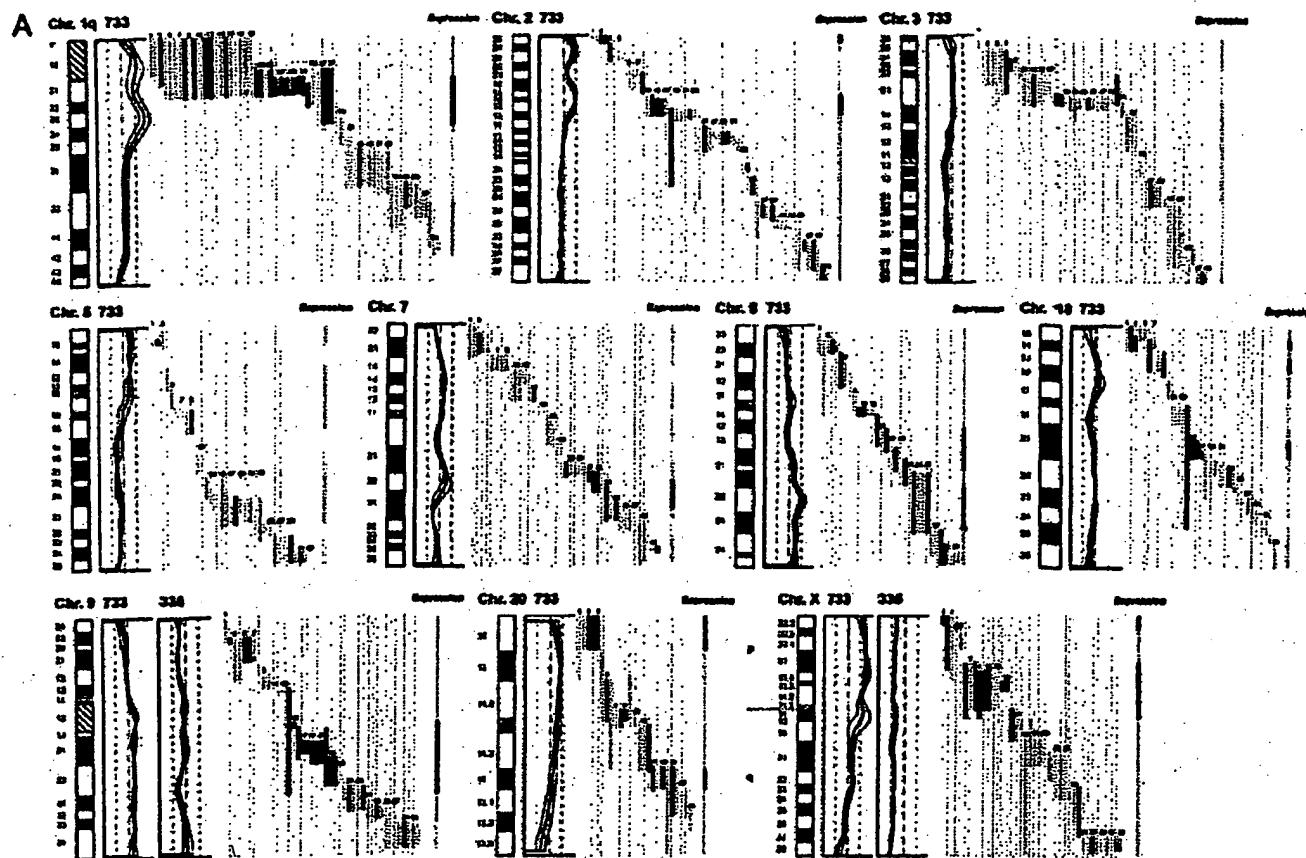
In human bladder tumors, karyotyping, fluorescent *in situ* hybridization, and comparative genomic hybridization (CGH)<sup>1</sup> have revealed chromosomal aberrations that seem to be characteristic of certain stages of disease progression. In the case of non-invasive pTa transitional cell carcinomas (TCCs), this includes loss of chromosome 9 or parts of it, as well as loss of Y in males. In minimally invasive pT1 TCCs, the following alterations have been reported: 2q–, 11p–, 1q+, 11q13+, 17q+, and 20q+ (7–12). It has been suggested that these regions harbor tumor suppressor genes and oncogenes; however, the large chromosomal areas involved often contain many genes, making meaningful predictions of the functional consequences of losses and gains very difficult.

In this investigation we have combined genome-wide technology for detecting genomic gains and losses (CGH) with gene expression profiling techniques (microarrays and proteomics) to determine the effect of gene copy number on transcript and protein levels in pairs of non-invasive and invasive human bladder TCCs.

## EXPERIMENTAL PROCEDURES

**Material**—Bladder tumor biopsies were sampled after informed consent was obtained and after removal of tissue for routine pathology examination. By light microscopy tumors 335 and 532 were staged by an experienced pathologist as pTa (superficial papillary),

<sup>1</sup> The abbreviations used are: CGH, comparative genomic hybridization; TCC, transitional cell carcinoma; LOH, loss of heterozygosity; PA-FABP, psoriasis-associated fatty acid-binding protein; 2D, two-dimensional.



**Fig. 1. DNA copy number and mRNA expression level.** Shown from left to right are chromosome (Chr.), CGH profiles, gene location and expression level of specific genes, and overall expression level along the chromosome. *A*, expression of mRNA in invasive tumor 733 as compared with the non-invasive counterpart tumor 335. *B*, expression of mRNA in invasive tumor 827 compared with the non-invasive counterpart tumor 532. The average fluorescent signal ratio between tumor DNA and normal DNA is shown along the length of the chromosome (left). The bold curve in the ratio profile represents a mean of four chromosomes and is surrounded by thin curves indicating one standard deviation. The central vertical line (broken) indicates a ratio value of 1 (no change), and the vertical lines next to it (dotted) indicate a ratio of 0.5 (left) and 2.0 (right). In chromosomes where the non-invasive tumor 335 used for comparison showed alterations in DNA content, the ratio profile of that chromosome is shown to the right of the invasive tumor profile. The colored bars represent one gene each, identified by the running numbers above the bars (the name of the gene can be seen at [www.MDL.OK/sdata.htm](http://www.MDL.OK/sdata.htm)). The bars indicate the purported location of the gene, and the colors indicate the expression level of the gene in the invasive tumor compared with the non-invasive counterpart; >2-fold increase (black), >2-fold decrease (blue), no significant change (orange). The bar to the far right, entitled *Expression* shows the resulting change in expression along the chromosome; the colors indicate that at least half of the genes were up-regulated (black), at least half of the genes down-regulated (blue), or more than half of the genes are unchanged (orange). If a gene was absent in one of the samples and present in another, it was regarded as more than a 2-fold change. A 2-fold level was chosen as this corresponded to one standard deviation in a double determination of ~1800 genes. Centromeres and heterochromatic regions were excluded from data analysis.

grade I and II, respectively, tumors 733 and 827 were staged as pT1 (invasive into submucosa), 733 was staged as solid, and 827 was staged as papillary, both grade III.

**mRNA Preparation**—Tissue biopsies, obtained fresh from surgery, were embedded immediately in a sodium-guanidinium thiocyanate solution and stored at -80 °C. Total RNA was isolated using the RNeazol B RNA isolation method (WAK-Chemie Medical GMBH). poly(A)<sup>+</sup> RNA was isolated by an oligo(dT) selection step (Oligotex mRNA kit; Qiagen).

**cRNA Preparation**—1 µg of mRNA was used as starting material. The first and second strand cDNA synthesis was performed using the SuperScript® choice system (Invitrogen) according to the manufacturer's instructions but using an oligo(dT) primer containing a T7 RNA polymerase binding site. Labeled cRNA was prepared using the MEGAscrip® *in vitro* transcription kit (Ambion). Biotin-labeled CTP and

UTP (Enzo) was used, together with unlabeled NTPs in the reaction. Following the *in vitro* transcription reaction, the unincorporated nucleotides were removed using RNeasy columns (Qiagen).

**Array Hybridization and Scanning**—Array hybridization and scanning was modified from a previous method (13). 10 µg of cRNA was fragmented at 94 °C for 35 min in buffer containing 40 mM Tris acetate, pH 8.1, 100 mM KOAc, 30 mM MgOAc. Prior to hybridization, the fragmented cRNA in a 6× SSPE-T hybridization buffer (1 M NaCl, 10 mM Tris, pH 7.6, 0.005% Triton), was heated to 95 °C for 5 min, subsequently cooled to 40 °C, and loaded onto the Affymetrix probe array cartridge. The probe array was then incubated for 16 h at 40 °C at constant rotation (60 rpm). The probe array was exposed to 10 washes in 6× SSPE-T at 25 °C followed by 4 washes in 0.5× SSPE-T at 50 °C. The biotinylated cRNA was stained with a streptavidin-phycocerythrin conjugate, 10 µg/ml (Molecular Probes) in 6× SSPE-T

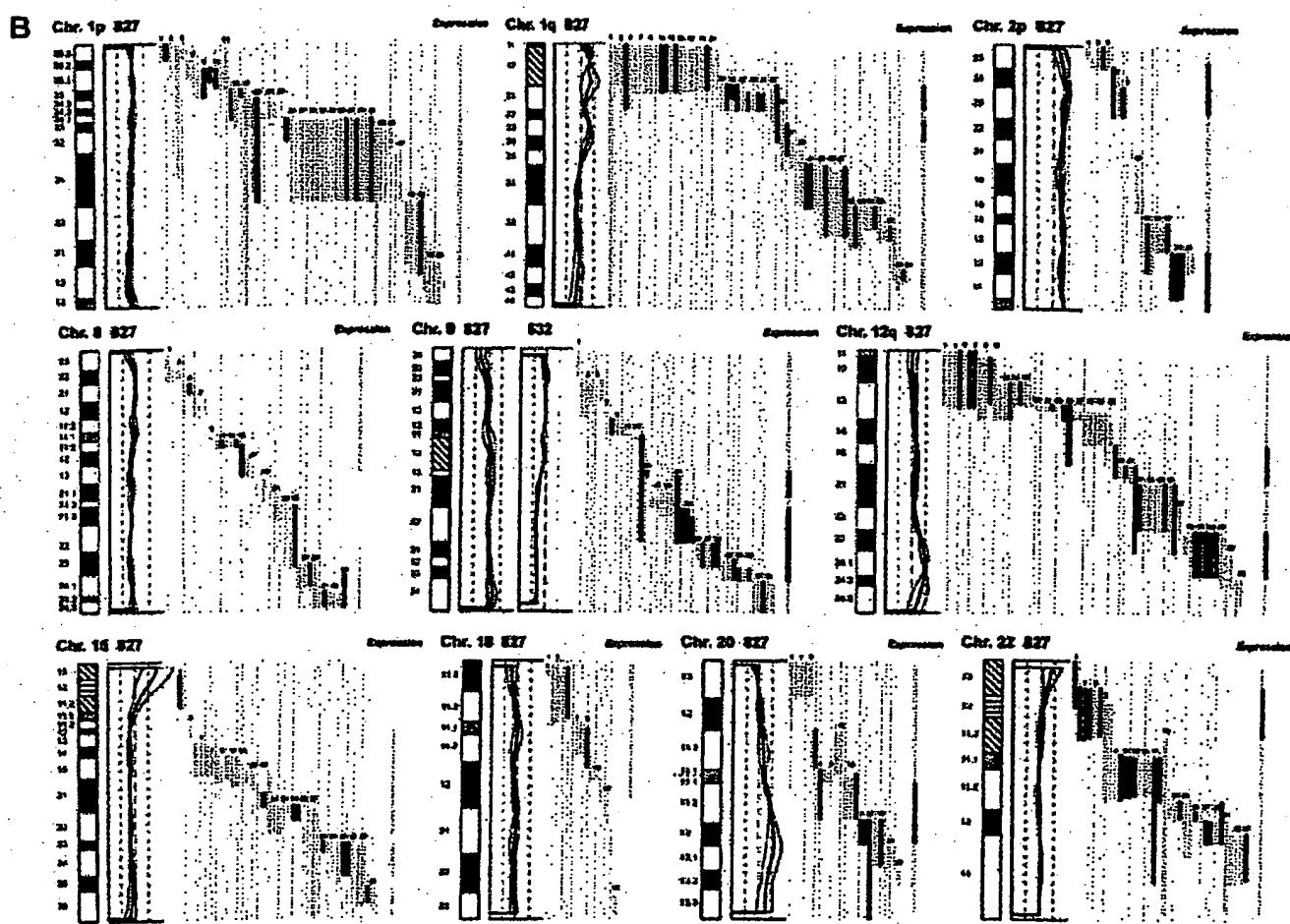


FIG. 1—continued

for 30 min at 25 °C followed by 10 washes in 6× SSPE-T at 25 °C. The probe arrays were scanned at 560 nm using a confocal laser scanning microscope (made for Affymetrix by Hewlett-Packard). The readings from the quantitative scanning were analyzed by Affymetrix gene expression analysis software.

**Microsatellite Analysis**—Microsatellite Analysis was performed as described previously (14). Microsatellites were selected by use of [www.ncbi.nlm.nih.gov/genemap98](http://www.ncbi.nlm.nih.gov/genemap98), and primer sequences were obtained from the genome data base at [www.gdb.org](http://www.gdb.org). DNA was extracted from tumor and blood and amplified by PCR in a volume of 20  $\mu$ l for 35 cycles. The amplicons were denatured and electrophoresed for 3 h in an ABI Prism 377. Data were collected in the Gene Scan program for fragment analysis. Loss of heterozygosity was defined as less than 33% of one allele detected in tumor amplicons compared with blood.

**Proteomic Analysis**—TCCs were minced into small pieces and homogenized in a small glass homogenizer in 0.5 ml of lysis solution. Samples were stored at -20 °C until use. The procedure for 2D gel electrophoresis has been described in detail elsewhere (15, 16). Gels were stained with silver nitrate and/or Coomassie Brilliant Blue. Proteins were identified by a combination of procedures that included microsequencing, mass spectrometry, two-dimensional gel Western immunoblotting, and comparison with the master two-dimensional gel image of human keratinocyte proteins; see [biobase.dk/cgi-bin/cells](http://biobase.dk/cgi-bin/cells).

**CGH**—Hybridization of differentially labeled tumor and normal DNA to normal metaphase chromosomes was performed as described previously (10). Fluorescein-labeled tumor DNA (200 ng), Texas Red-

labeled reference DNA (200 ng), and human Cot-1 DNA (20  $\mu$ g) were denatured at 37 °C for 5 min and applied to denatured normal metaphase slides. Hybridization was at 37 °C for 2 days. After washing, the slides were counterstained with 0.15  $\mu$ g/ml 4,6-diamidino-2-phenylindole in an anti-fade solution. A second hybridization was performed for all tumor samples using fluorescein-labeled reference DNA and Texas Red-labeled tumor DNA (inverse labeling) to confirm the aberrations detected during the initial hybridization. Each CGH experiment also included a normal control hybridization using fluorescein- and Texas Red-labeled normal DNA. Digital image analysis was used to identify chromosomal regions with abnormal fluorescence ratios, indicating regions of DNA gains and losses. The average green:red fluorescence Intensity ratio profiles were calculated using four images of each chromosome (eight chromosomes total) with normalization of the green:red fluorescence Intensity ratio for the entire metaphase and background correction. Chromosome identification was performed based on 4,6-diamidino-2-phenylindole banding patterns. Only images showing uniform high intensity fluorescence with minimal background staining were analyzed. All centromeres, p arms of acrocentric chromosomes, and heterochromatic regions were excluded from the analysis.

## RESULTS

**Comparative Genomic Hybridization**—The CGH analysis identified a number of chromosomal gains and losses in the

## Gene Copy Numbers, Transcripts, and Protein Levels

TABLE I  
Correlation between alterations detected by CGH and by expression monitoring

Top, CGH used as independent variable (if CGH alteration – what expression ratio was found); bottom, altered expression used as independent variable (if expression alteration – what CGH deviation was found).

CGH alterations	Tumor 733 vs. 335		CGH alterations	Tumor 827 vs. 532	
	Expression change clusters	Concordance		Expression change clusters	Concordance
13 Gain	10 Up-regulation 0 Down-regulation 3 No change	77%	10 Gain	8 Up-regulation 0 Down-regulation 2 No change	80%
10 Loss	1 Up-regulation 5 Down-regulation 4 No change	50%	12 Loss	3 Up-regulation 2 Down regulation 7 No change	17%
Expression change clusters	Tumor 733 vs. 335		Expression change clusters	Tumor 827 vs. 532	
	CGH alterations	Concordance		CGH alterations	Concordance
16 Up-regulation	11 Gain 2 Loss 3 No change	69%	17 Up-regulation	10 Gain 5 Loss 2 No change	59%
21 Down-regulation	1 Gain 8 Loss 12 No change	38%	9 Down-regulation	0 Gain 3 Loss 6 No change	33%
15 No change	3 Gain 3 Loss 9 No change	60%	21 No change	1 Gain 3 Loss 17 No change	81%

two invasive tumors (stage pT1, TCCs 733 and 827), whereas the two non-invasive papillomas (stage pTa, TCCs 335 and 532) showed only 9p–, 9q22-q33–, and X–, and 7+, 9q–, and Y–, respectively. Both invasive tumors showed changes (1q22-24+, 2q14.1-qter–, 3q12-q13.3–, 6q12-q22–, 9q34+, 11q12-q13+, 17+, and 20q11.2-q12+) that are typical for their disease stage, as well as additional alterations, some of which are shown in Fig. 1. Areas with gains and losses deviated from the normal copy number to some extent, and the average numerical deviation from normal was 0.4-fold in the case of TCC 733 and 0.3-fold for TCC 827. The largest changes, amounting to at least a doubling of chromosomal content, were observed at 1q23 in TCC 733 (Fig. 1A) and 20q12 in TCC 827 (Fig. 1B).

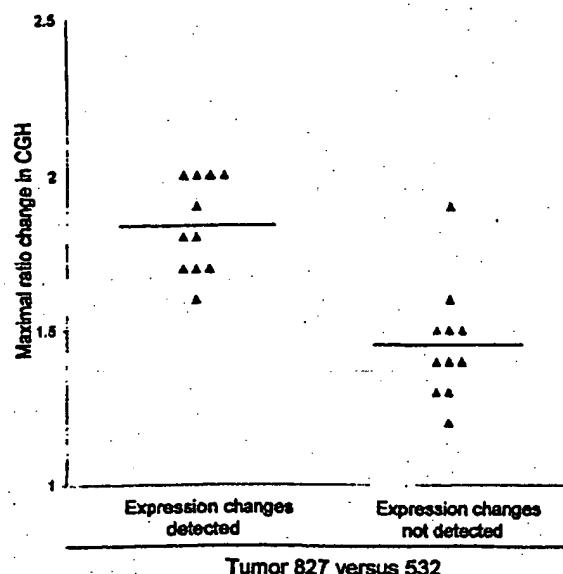
**mRNA Expression In Relation to DNA Copy Number**—The mRNA levels from the two invasive tumors (TCCs 827 and 733) were compared with the two non-invasive counterparts (TCCs 532 and 335). This was done in two separate experiments in which we compared TCCs 733 to 335 and 827 to 532, respectively, using two different scaling settings for the arrays to rule out scaling as a confounding parameter. Approximately 1,800 genes that yielded a signal on the arrays were searched in the Unigene and Genemap data bases for chromosomal location, and those with a known location (1096) were plotted as bars covering their purported locus. In that way it was possible to construct a graphic presentation of DNA copy number and relative mRNA levels along the individual chromosomes (Fig. 1).

For each mRNA a ratio was calculated between the level in the invasive versus the non-invasive counterpart. Bars, which represent chromosomal location of a gene, were color-coded according to the expression ratio, and only differences larger

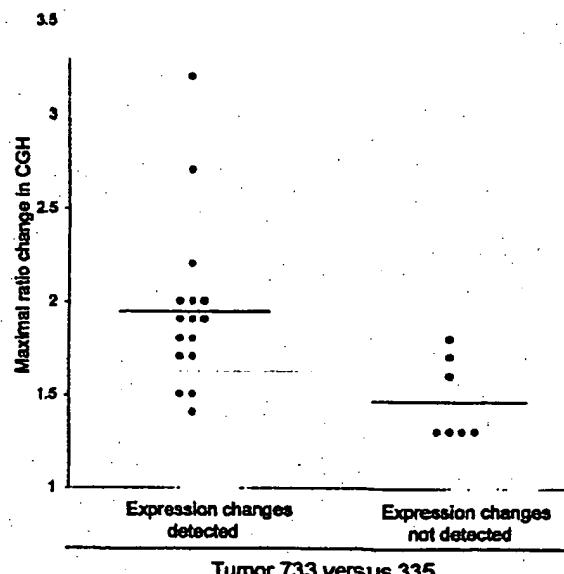
than 2-fold were regarded as informative (Fig. 1). The density of genes along the chromosomes varied, and areas containing only one gene were excluded from the calculations. The resolution of the CGH method is very low, and some of the outlier data may be because of the fact that the boundaries of the chromosomal aberrations are not known at high resolution.

Two sets of calculations were made from the data. For the first set we used CGH alterations as the independent variable and estimated the frequency of expression alterations in these chromosomal areas. In general, areas with a strong gain of chromosomal material contained a cluster of genes having increased mRNA expression. For example, both chromosomes 1q21-q25, 2p and 9q, showed a relative gain of more than 100% in DNA copy number that was accompanied by increased mRNA expression levels in the two tumor pairs (Fig. 1). In most cases, chromosomal gains detected by CGH were accompanied by an increased level of transcripts in both TCCs 733 (77%) and 827 (80%) (Table I, top). Chromosomal losses, on the other hand, were not accompanied by decreased expression in several cases, and were often registered as having unaltered RNA levels (Table I, top). The inability to detect RNA expression changes in these cases was not because of fewer genes mapping to the lost regions (data not shown).

In the second set of calculations we selected expression alterations above 2-fold as the independent variable and estimated the frequency of CGH alterations in these areas. As above, we found that increased transcript expression correlated with gain of chromosomal material (TCC 733, 69% and TCC 827, 59%), whereas reduced expression was often detected in areas with unaltered CGH ratios (Table I, bottom). Furthermore, as a control we looked at areas with no alter-



Tumor 827 versus 532



Tumor 733 versus 335

**Fig. 2. Correlation between maximum CGH aberration and the ability to detect expression change by oligonucleotide array monitoring.** The aberration is shown as a numerical -fold change in ratio between invasive tumors 827 (▲) and 733 (◆) and their non-invasive counterparts 532 and 335. The expression change was taken from the Expression line to the right in Fig. 1, which depicts the resulting expression change for a given chromosomal region. At least half of the mRNAs from a given region have to be either up- or down-regulated to be scored as an expression change. All chromosomal arms in which the CGH ratio plus or minus one standard deviation was outside the ratio value of one were included.

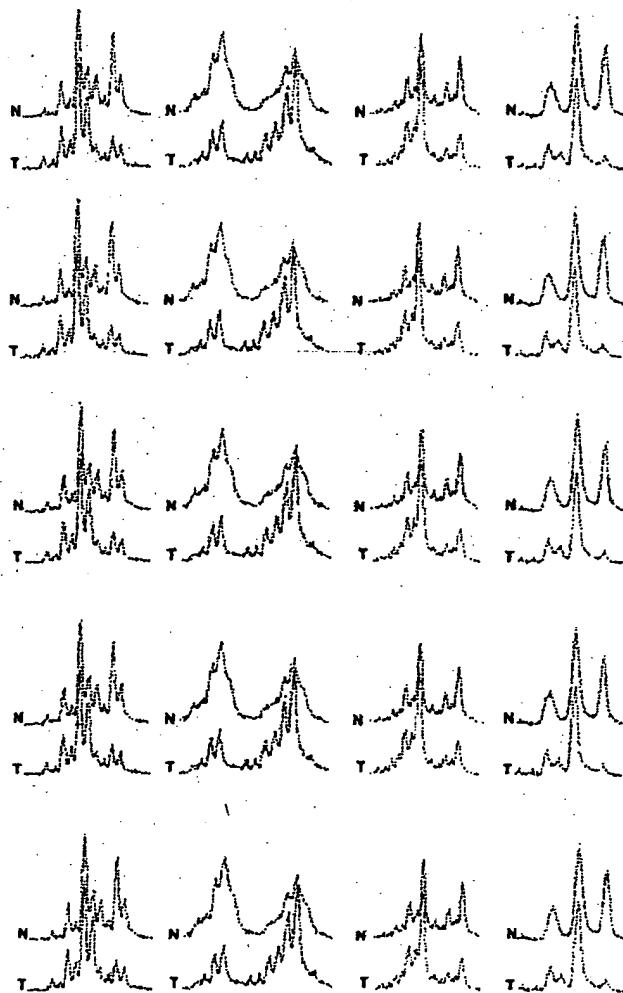
ation in expression. No alteration was detected by CGH in most of these areas (TCC 733, 60% and TCC 827, 81%; see Table I, bottom). Because the ability to observe reduced or increased mRNA expression clustering to a certain chromosomal area clearly reflected the extent of copy number changes, we plotted the maximum CGH aberrations in the regions showing CGH changes against the ability to detect a change in mRNA expression as monitored by the oligonucleotide arrays (Fig. 2). For both tumors TCC 733 ( $p < 0.015$ ) and TCC 827 ( $p < 0.00003$ ) a highly significant correlation was observed between the level of CGH ratio change (reflecting the DNA copy number) and alterations detected by the array based technology (Fig. 2). Similar data were obtained when areas with altered expression were used as independent variables. These areas correlated best with CGH when the CGH ratio deviated 1.6- to 2.0-fold (Table I, bottom) but mostly did not at lower CGH deviations. These data probably reflect that loss of an allele may only lead to a 50% reduction in expression level, which is at the cut-off point for detection of expression alterations. Gain of chromosomal material can occur to a much larger extent.

**Microsatellite-based Detection of Minor Areas of Losses—**In TCC 733, several chromosomal areas exhibiting DNA amplification were preceded or followed by areas with a normal CGH but reduced mRNA expression (see Fig. 1, TCC 733 chromosome 1q32, 2p21, and 7q21 and q32, 9q34, and 10q22). To determine whether these results were because of undetected loss of chromosomal material in these regions or

because of other non-structural mechanisms regulating transcription, we examined two microsatellites positioned at chromosome 1q25-32 and two at chromosome 2p22. Loss of heterozygosity (LOH) was found at both 1q25 and at 2p22 indicating that minor deleted areas were not detected with the resolution of CGH (Fig. 3). Additionally, chromosome 2p in TCC 733 showed a CGH pattern of gain/no change/gain of DNA that correlated with transcript increase/decrease/increase. Thus, for the areas showing increased expression there was a correlation with the DNA copy number alterations (Fig. 1A). As indicated above, the mRNA decrease observed in the middle of the chromosomal gain was because of LOH, implying that one of the mechanisms for mRNA down-regulation may be regions that have undergone smaller losses of chromosomal material. However, this cannot be detected with the resolution of the CGH method.

In both TCC 733 and TCC 827, the telomeric end of chromosome 11p showed a normal ratio in the CGH analysis; however, clusters of five and three genes, respectively, lost their expression. Two microsatellites (D11S1760, D11S922) positioned close to MUC2, IGF2, and cathepsin D indicated LOH as the most likely mechanism behind the loss of expression (data not shown).

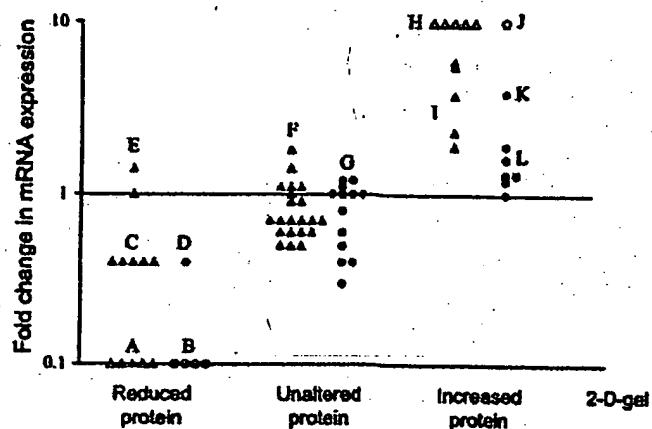
A reduced expression of mRNA observed in TCC 733 at chromosomes 3q24, 11p11, 12p12.2, 12q21.1, and 16q24 and in TCC 827 at chromosome 11p15.5, 12p11, 15q11.2, and 18q12 was also examined for chromosomal losses using microsatellites positioned as close as possible to the gene loci



**Fig. 3. Microsatellite analysis of loss of heterozygosity.** Tumor 733 showing loss of heterozygosity at chromosome 1q25, detected (a) by D1S215 close to Hu class I histocompatibility antigen (gene number 38 in Fig. 1), (b) by D1S2735 close to cathepsin E (gene number 41 in Fig. 1), and (c) at chromosome 2p23 by D2S2251 close to general  $\beta$ -spectrin (gene number 11 on Fig. 1) and of (d) tumor 827 showing loss of heterozygosity at chromosome 18q12 by S18S1118 close to mitochondrial 3-oxoacyl-coenzyme A thiolase (gene number 12 in Fig. 1). The upper curves show the electropherogram obtained from normal DNA from leukocytes (N), and the lower curves show the electropherogram from tumor DNA (T). In all cases one allele is partially lost in the tumor amplicon.

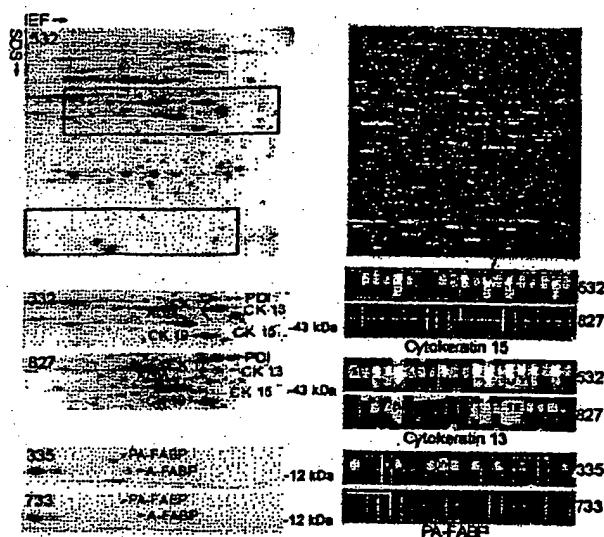
showing reduced mRNA transcripts. Only the microsatellite positioned at 18q12 showed LOH (Fig. 3), suggesting that transcriptional down-regulation of genes in the other regions may be controlled by other mechanisms.

**Relation between Changes in mRNA and Protein Levels—** 2D-PAGE analysis, in combination with Coomassie Brilliant Blue and/or silver staining, was carried out on all four tumors using fresh biopsy material. 40 well resolved abundant known proteins migrating in areas away from the edges of the pH



**Fig. 4. Correlation between protein levels as judged by 2D-PAGE and transcript ratio.** For comparison proteins were divided in three groups, unaltered in level or up- or down-regulated (horizontal axis). The mRNA ratio as determined by oligonucleotide arrays was plotted for each gene (vertical axis). ▲, mRNAs that were scored as present in both tumors used for the ratio calculation; ▲●, mRNAs that were scored as absent in the invasive tumors (along horizontal axis) or as absent in non-invasive reference (top of figure). Two different scalings were used to exclude scaling as a confounder, TCCs 827 and 532 (▲△) were scaled with background suppression, and TCCs 733 and 335 (●○) were scaled without suppression. Both comparisons showed highly significant ( $p < 0.005$ ) differences in mRNA ratios between the groups. Proteins shown were as follows: Group A (from left), phosphoglucomutase 1, glutathione transferase class  $\mu$  number 4, fatty acid-binding protein homologue, cytoskeletal protein, 28-kDa heat shock protein, cytoskeletal protein, 28-kDa heat shock protein, 14-3-3- $\epsilon$ , and pre-mRNA splicing factor; D, mesothelial keratin K7 (type II); E (from top), glutathione S-transferase- $\pi$  and mesothelial keratin K7 (type II); F (from top and left), adenylyl cyclase-associated protein, E-cadherin, keratin 19, calgizzarin, phosphoglycerate mutase, annexin IV, cytoskeletal  $\gamma$ -actin, hnRNP A1, integral membrane protein calnexin (IP90), hnRNP H, brain-type clathrin light chain-a, hnRNP F, 70-kDa heat shock protein, heterogeneous nuclear ribonucleoprotein A/B, translationally controlled tumor protein, liver glyceraldehyde-3-phosphate dehydrogenase, keratin 8, aldehyde reductase, and Na-K-ATPase  $\beta$ -1 subunit; G, (from top and left), TCP20, calgizzarin, 70-kDa heat shock protein, calnexin, hnRNP H, cytoskeletal protein, ATP synthase, keratin 19, triosephosphate isomerase, hnRNP F, liver glyceraldehyde-3-phosphatase dehydrogenase, glutathione S-transferase- $\pi$ , and keratin 8; H (from left), plasma gelsolin, autoantigen calreticulin, thioredoxin, and NAD $^+$ -dependent 15 hydroxyprostaglandin dehydrogenase; I (from top), prolyl 4-hydroxylase  $\beta$ -subunit, cytoskeletal protein, 20, cytoskeletal protein, 17, prohibitin, and fructose 1,6-biphosphatase; J, annexin II; K, annexin IV; L (from top and left), 90-kDa heat shock protein, prolyl 4-hydroxylase  $\beta$ -subunit,  $\alpha$ -enolase, GRP 78, cyclophilin, and cofilin.

gradient, and having a known chromosomal location, were selected for analysis in the TCC pair 827/532. Proteins were identified by a combination of methods (see "Experimental Procedures"). In general there was a highly significant correlation ( $p < 0.005$ ) between mRNA and protein alterations (Fig. 4). Only one gene showed disagreement between transcript alteration and protein alteration. Except for a group of cyto-



**Fig. 5. Comparison of protein and transcript levels in invasive and non-invasive TCCs.** The upper part of the figure shows a 2D gel (left) and the oligonucleotide array (right) of TCC 532. The red rectangles on the upper gel highlight the areas that are compared below. Identical areas of 2D gels of TCCs 532 and 827 are shown below. Clearly, cytokeratins 13 and 15 are strongly down-regulated in TCC 827 (red annotation). The tile on the array containing probes for cytokeratin 15 is enlarged below the array (red arrow) from TCC 532 and is compared with TCC 827. The upper row of squares in each tile corresponds to perfect match probes; the lower row corresponds to mismatch probes containing a mutation (used for correction for unspecific binding). Absence of signal is depicted as black, and the higher the signal the lighter the color. A high transcript level was detected in TCC 532 (6151 units) whereas a much lower level was detected in TCC 827 (absence of signals). For cytokeratin 13, a high transcript level was also present in TCC 532 (15659 units), and a much lower level was present in TCC 827 (623 units). The 2D gels at the bottom of the figure (left) show levels of PA-FABP and adipocyte-FABP in TCCs 335 and 733 (invasive), respectively. Both proteins are down-regulated in the invasive tumor. To the right we show the array tiles for the PA-FABP transcript. A medium transcript level was detected in the case of TCC 335 (1277 units) whereas very low levels were detected in TCC 733 (166 units). IEF, isoelectric focusing.

keratins encoded by genes on chromosome 17 (Fig. 5) the analyzed proteins did not belong to a particular family. 26 well focused proteins whose genes had a known chromosomal location were detected in TCCs 733 and 335, and of these 19 correlated ( $p < 0.005$ ) with the mRNA changes detected using the arrays (Fig. 4). For example, PA-FABP was highly expressed in the non-invasive TCC 335 but lost in the invasive counterpart (TCC 733; see Fig. 5). The smaller number of proteins detected in both 733 and 335 was because of the smaller size of the biopsies that were available.

11 chromosomal regions where CGH showed aberrations that corresponded to the changes in transcript levels also showed corresponding changes in the protein level (Table II). These regions included genes that encode proteins that are found to be frequently altered in bladder cancer, namely cytokeratins 17 and 20, annexins II and IV, and the fatty acid-binding proteins PA-FABP and FBP1. Four of these proteins were encoded by genes in chromosome 17q, a frequently amplified chromosomal area in invasive bladder cancers.

#### DISCUSSION

Most human cancers have abnormal DNA content, having lost some chromosomal parts and gained others. The present study provides some evidence as to the effect of these gains and losses on gene expression in two pairs of non-invasive and invasive TCCs using high throughput expression arrays and proteomics, in combination with CGH. In general, the results showed that there is a clear individual regulation of the mRNA expression of single genes, which in some cases was superimposed by a DNA copy number effect. In most cases, genes located in chromosomal areas with gains often exhibited increased mRNA expression, whereas areas showing losses showed either no change or a reduced mRNA expression. The latter might be because of the fact that losses most often are restricted to loss of one allele, and the cut-off point for detection of expression alterations was a 2-fold change, thus being at the border of detection. In several cases, how-

**TABLE II**  
Proteins whose expression level correlates with both mRNA and gene dose changes

Protein	Chromosomal location	Tumor TCC	CGH alteration	Transcript alteration <sup>a</sup>	Protein alteration
Annexin II	1q21	733	Gain	Abs to Pres <sup>a</sup>	Increase
Annexin IV	2p13	733	Gain	3.9-Fold up	Increase
Cytokeratin 17	17q12-q21	827	Gain	3.8-Fold up	Increase
Cytokeratin 20	17q21.1	827	Gain	5.6-Fold up	Increase
(PA-)FABP	8q21.2	827	Loss	10-Fold down	Decrease
FBP1	9q22	827	Gain	2.3-Fold up	Increase
Plasma gelsolin	9q31	827	Gain	Abs to Pres	Increase
Heat shock protein 28	15q12-q13	827	Loss	2.5-Fold up	Decrease
Prohibitin	17q21	827/733	Gain	3.7-/2.5-Fold up <sup>b</sup>	Increase
Prolyl-4-hydroxyl	17q25	827/733	Gain	5.7-/1.6-Fold up	Increase
hnRNPB1	7p15	827	Loss	2.5-Fold down	Decrease

<sup>a</sup> Abs, absent; Pres, present.

<sup>b</sup> In cases where the corresponding alterations were found in both TCCs 827 and 733 these are shown as 827/733.

## Gene Copy Numbers, Transcripts, and Protein Levels

ever, an increase or decrease in DNA copy number was associated with *de novo* occurrence or complete loss of transcript, respectively. Some of these transcripts could not be detected in the non-invasive tumor but were present at relatively high levels in areas with DNA amplifications in the invasive tumors (e.g. in TCC 733 transcript from cellular ligand of annexin II gene (chromosome 1q21) from absent to 2670 arbitrary units; in TCC 827 transcript from small proline-rich protein 1 gene (chromosome 1q12-q21.1) from absent to 1326 arbitrary units). It may be anticipated from these data that significant clustering of genes with an increased expression to a certain chromosomal area indicates an increased likelihood of gain of chromosomal material in this area.

Considering the many possible regulatory mechanisms acting at the level of transcription, it seems striking that the gene dose effects were so clearly detectable in gained areas. One hypothetical explanation may lie in the loss of controlled methylation in tumor cells (17-19). Thus, it may be possible that in chromosomes with increased DNA copy numbers two or more alleles could be demethylated simultaneously leading to a higher transcription level, whereas in chromosomes with losses the remaining allele could be partly methylated, turning off the process (20, 21). A recent report has documented a ploidy regulation of gene expression in yeast, but in this case all the genes were present in the same ratio (22), a situation that is not analogous to that of cancer cells, which show marked chromosomal aberrations, as well as gene dosage effects.

Several CGH studies of bladder cancer have shown that some chromosomal aberrations are common at certain stages of disease progression, often occurring in more than 1 of 3 tumors. In pTa tumors, these include 9p-, 9q-, 1q+, Y-, (2, 6), and in pT1 tumors, 2q-, 11p-, 11q-, 1q+, 5p+, 8q+, 17q+, and 20q+ (2-4, 6, 7). The pTa tumors studied here showed similar aberrations such as 9p- and 9q22-q33- and 9q- and Y-, respectively. Likewise, the two minimal invasive pT1 tumors showed aberrations that are commonly seen at that stage, and TCC 827 had a remarkable resemblance to the commonly seen pattern of losses and gains, such as 1q22-24 amplification (seen in both tumors), 11q14-q22 loss, the latter often linked to 17q+ (both tumors), and 1q+ and 9p-, often linked to 20q+ and 11q13+ (both tumors) (7-9). These observations indicate that the pairs of tumors used in this study exhibit chromosomal changes observed in many tumors, and therefore the findings could be of general importance for bladder cancer.

Considering that the mapping resolution of CGH is of about 20 megabases it is only possible to get a crude picture of chromosomal instability using this technique. Occasionally, we observed reduced transcript levels close to or inside regions with increased copy numbers. Analysis of these regions by positioning heterozygous microsatellites as close as possible to the locus showing reduced gene expression revealed loss of heterozygosity in several cases. It seems likely that multiple and different events occur along each chromosomal

arm and that the use of cDNA microarrays for analysis of DNA copy number changes will reach a resolution that can resolve these changes, as has recently been proposed (2). The outlier data were not more frequent at the boundaries of the CGH aberrations. At present we do not know the mechanism behind chromosomal aneuploidy and cannot predict whether chromosomal gains will be transcribed to a larger extent than the two native alleles. A mechanism as genetic imprinting has an impact on the expression level in normal cells and is often reduced in tumors. However, the relation between imprinting and gain of chromosomal material is not known.

We regard it as a strength of this investigation that we were able to compare invasive tumors to benign tumors rather than to normal urothelium, as the tumors studied were biologically very close and probably may represent successive steps in the progression of bladder cancer. Despite the limited amount of fresh tissue available it was possible to apply three different state of the art methods. The observed correlation between DNA copy number and mRNA expression is remarkable when one considers that different pieces of the tumor biopsies were used for the different sets of experiments. This indicate that bladder tumors are relatively homogenous, a notion recently supported by CGH and LOH data that showed a remarkable similarity even between tumors and distant metastasis (10, 23).

In the few cases analyzed, mRNA and protein levels showed a striking correspondence although in some cases we found discrepancies that may be attributed to translational regulation, post-translational processing, protein degradation, or a combination of these. Some transcripts belong to undertranslated mRNA pools, which are associated with few translationally inactive ribosomes; these pools, however, seem to be rare (24). Protein degradation, for example, may be very important in the case of polypeptides with a short half-life (e.g. signaling proteins). A poor correlation between mRNA and protein levels was found in liver cells as determined by arrays and 2D-PAGE (25), and a moderate correlation was recently reported by Ideker et al. (26) in yeast.

Interestingly, our study revealed a much better correlation between gained chromosomal areas and increased mRNA levels than between loss of chromosomal areas and reduced mRNA levels. In general, the level of CGH change determined the ability to detect a change in transcript. One possible explanation could be that by losing one allele the change in mRNA level is not so dramatic as compared with gain of material, which can be rather unlimited and may lead to a severalfold increase in gene copy number resulting in a much higher impact on transcript level. The latter would be much easier to detect on the expression arrays as the cut-off point was placed at a 2-fold level so as not to be biased by noise on the array. Construction of arrays with a better signal to noise ratio may in the future allow detection of lesser than 2-fold alterations in transcript levels, a feature that may facilitate the analysis of the effect of loss of chromosomal areas on transcript levels.

In eleven cases we found a significant correlation between DNA copy number, mRNA expression, and protein level. Four of these proteins were encoded by genes located at a frequently amplified area in chromosome 17q. Whether DNA copy number is one of the mechanisms behind alteration of these eleven proteins is at present unknown and will have to be proved by other methods using a larger number of samples. One factor making such studies complicated is the large extent of protein modification that occurs after translation, requiring immunoidentification and/or mass spectrometry to correctly identify the proteins in the gels.

In conclusion, the results presented in this study exemplify the large body of knowledge that may be possible to gather in the future by combining state of the art techniques that follow the pathway from DNA to protein (26). Here, we used a traditional chromosomal CGH method, but in the future high resolution CGH based on microarrays with many thousand radiation hybrid-mapped genes will increase the resolution and information derived from these types of experiments (2). Combined with expression arrays analyzing transcripts derived from genes with known locations, and 2D gel analysis to obtain information at the post-translational level, a clearer and more developed understanding of the tumor genome will be forthcoming.

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# Impact of DNA Amplification on Gene Expression Patterns in Breast Cancer<sup>1,2</sup>

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## ABSTRACT

Genetic changes underlie tumor progression and may lead to cancer-specific expression of critical genes. Over 1100 publications have described the use of comparative genomic hybridization (CGH) to analyze the pattern of copy number alterations in cancer, but very few of the genes affected are known. Here, we performed high-resolution CGH analysis on cDNA microarrays in breast cancer and directly compared copy number and mRNA expression levels of 13,824 genes to quantitate the impact of genomic changes on gene expression. We identified and mapped the boundaries of 24 independent amplicons, ranging in size from 0.2 to 12 Mb. Throughout the genome, both high- and low-level copy number changes had a substantial impact on gene expression, with 44% of the highly amplified genes showing overexpression and 10.5% of the highly overexpressed genes being amplified. Statistical analysis with random permutation tests identified 270 genes whose expression levels across 14 samples were systematically attributable to gene amplification. These included most previously described amplified genes in breast cancer and many novel targets for genomic alterations, including the *HOXB7* gene, the presence of which in a novel amplicon at 17q21.3 was validated in 10.2% of primary breast cancers and associated with poor patient prognosis. In conclusion, CGH on cDNA microarrays revealed hundreds of novel genes whose overexpression is attributable to gene amplification. These genes may provide insights to the clonal evolution and progression of breast cancer and highlight promising therapeutic targets.

## INTRODUCTION

Gene expression patterns revealed by cDNA microarrays have facilitated classification of cancers into biologically distinct categories, some of which may explain the clinical behavior of the tumors (1–6). Despite this progress in diagnostic classification, the molecular mechanisms underlying gene expression patterns in cancer have remained elusive, and the utility of gene expression profiling in the identification of specific therapeutic targets remains limited.

Accumulation of genetic defects is thought to underlie the clonal evolution of cancer. Identification of the genes that mediate the effects of genetic changes may be important by highlighting transcripts that are actively involved in tumor progression. Such transcripts and their encoded proteins would be ideal targets for anticancer therapies, as demonstrated by the clinical success of new therapies against amplified oncogenes, such as *ERBB2* and *EGFR* (7, 8), in breast cancer and other solid tumors. Besides amplifications of known oncogenes, over

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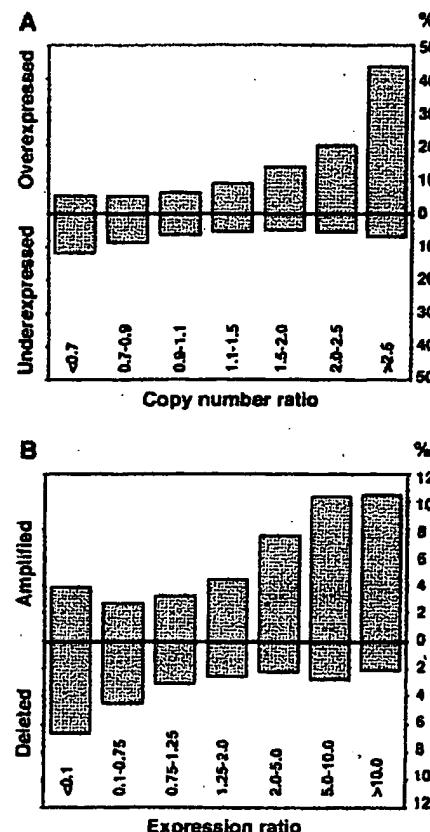


Fig. 1. Impact of gene copy number on global gene expression levels. A, percentage of over- and underexpressed genes (Y axis) according to copy number ratios (X axis). Threshold values used for over- and underexpression were >2.184 (global upper 7% of the cDNA ratios) and <0.4826 (global lower 7% of the expression ratios). B, percentage of amplified and deleted genes according to expression ratios. Threshold values for amplification and deletion were >1.5 and <0.7.

20 recurrent regions of DNA amplification have been mapped in breast cancer by CGH<sup>5</sup> (9, 10). However, these amplicons are often large and poorly defined, and their impact on gene expression remains unknown.

We hypothesized that genome-wide identification of those gene expression changes that are attributable to underlying gene copy number alterations would highlight transcripts that are actively involved in the causation or maintenance of the malignant phenotype. To identify such transcripts, we applied a combination of cDNA and CGH microarrays to: (a) determine the global impact that gene copy number variation plays in breast cancer development and progression; and (b) identify and characterize those genes whose mRNA expres-

<sup>5</sup> The abbreviations used are: CGH, comparative genomic hybridization; FISH, fluorescence *in situ* hybridization; RT-PCR, reverse transcription-PCR.

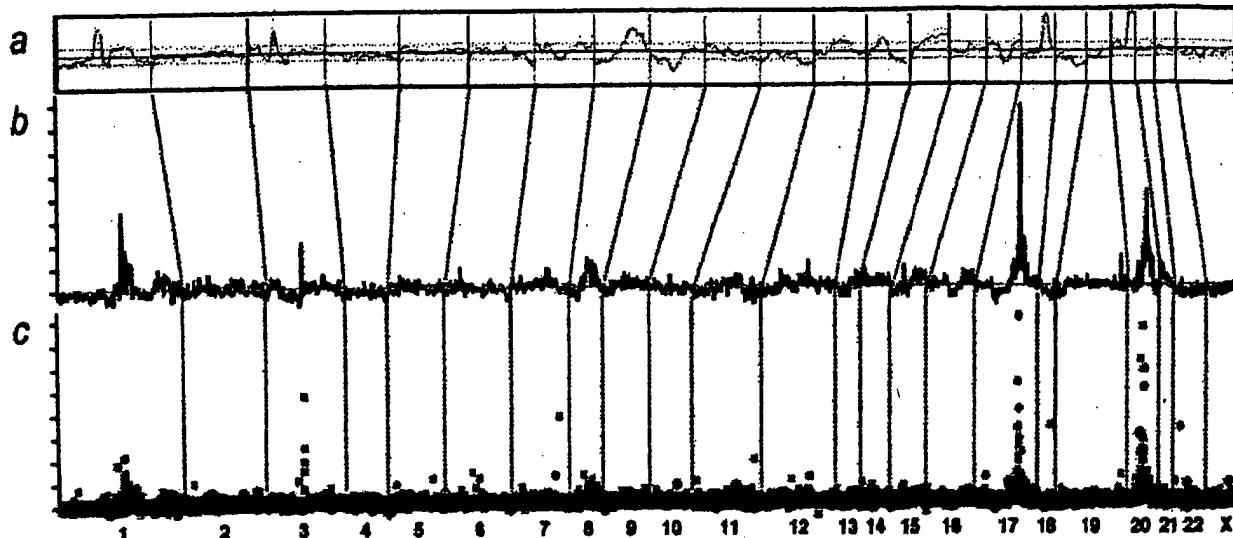


Fig. 2. Genome-wide copy number and expression analysis in the MCF-7 breast cancer cell line. *A*, chromosomal CGH analysis of MCF-7. The copy number ratio profile (blue line) across the entire genome from 1p telomere to Xq telomere is shown along with  $\pm 1$  SD (orange lines). The black horizontal line indicates a ratio of 1.0; red line, a ratio of 0.8; and green line, a ratio of 1.2. *B-C*, genome-wide copy number analysis in MCF-7 by CGH on cDNA microarray. The copy number ratios were plotted as a function of the position of the cDNA clones along the human genome. In *B*, individual data points are connected with a line, and a moving median of 10 adjacent clones is shown. Red horizontal line, the copy number ratio of 1.0. In *C*, individual data points are labeled by color coding according to cDNA expression ratios. The bright red dots indicate the upper 2%, and dark red dots, the next 5% of the expression ratios in MCF-7 cells (overexpressed genes); bright green dots indicate the lowest 2%, and dark green dots, the next 5% of the expression ratios (underexpressed genes); the rest of the observations are shown with black crosses. The chromosome numbers are shown at the bottom of the figure, and chromosome boundaries are indicated with a dashed line.

sion is most significantly associated with amplification of the corresponding genomic template.

## MATERIALS AND METHODS

**Breast Cancer Cell Lines.** Fourteen breast cancer cell lines (BT-20, BT-474, HCC1428, Hs578t, MCF7, MDA-361, MDA-436, MDA-453, MDA-468, SKBR-3, T-47D, UACC812, ZR-75-1, and ZR-75-30) were obtained from the American Type Culture Collection (Manassas, VA). Cells were grown under recommended culture conditions. Genomic DNA and mRNA were isolated using standard protocols.

**Copy Number and Expression Analyses by cDNA Microarrays.** The preparation and printing of the 13,824 cDNA clones on glass slides were performed as described (11–13). Of these clones, 244 represented uncharacterized expressed sequence tags, and the remainder corresponded to known genes. CGH experiments on cDNA microarrays were done as described (14, 15). Briefly, 20  $\mu$ g of genomic DNA from breast cancer cell lines and normal human WBCs were digested for 14–18 h with *Xba*I and *Rsa*I (Life Technologies, Inc., Rockville, MD) and purified by phenol/chloroform extraction. Six  $\mu$ g of digested cell line DNAs were labeled with Cy3-dUTP (Amersham Pharmacia) and normal DNA with Cy5-dUTP (Amersham Pharmacia) using the Bioprime Labeling kit (Life Technologies, Inc.). Hybridization (14, 15) and posthybridization washes (13) were done as described. For the expression analyses, a standard reference (Universal Human Reference RNA; Stratagene, La Jolla, CA) was used in all experiments. Forty  $\mu$ g of reference RNA were labeled with Cy3-dUTP and 3.5  $\mu$ g of test mRNA with Cy5-dUTP, and the labeled cDNAs were hybridized on microarrays as described (13, 15). For both microarray analyses, a laser confocal scanner (Agilent Technologies, Palo Alto, CA) was used to measure the fluorescence intensities at the target locations using the DEARRAY software (16). After background subtraction, average intensities at each clone in the test hybridization were divided by the average intensity of the corresponding clone in the control hybridization. For the copy number analysis, the ratios were normalized on the basis of the distribution of ratios of all targets on the array and for the expression analysis on the basis of 88 housekeeping genes, which were spotted four times onto the array. Low quality measurements (*i.e.*, copy number data with mean reference intensity <100 fluorescent units, and expression data with both test and reference intensity <100 fluorescent units and/or with spot size <50 units)

were excluded from the analysis and were treated as missing values. The distributions of fluorescence ratios were used to define cutpoints for increased/decreased copy number. Genes with CGH ratio >1.43 (representing the upper 5% of the CGH ratios across all experiments) were considered to be amplified, and genes with ratio <0.73 (representing the lower 5%) were considered to be deleted.

**Statistical Analysis of CGH and cDNA Microarray Data.** To evaluate the influence of copy number alterations on gene expression, we applied the following statistical approach. CGH and cDNA calibrated intensity ratios were log-transformed and normalized using median centering of the values in each cell line. Furthermore, cDNA ratios for each gene across all 14 cell lines were median centered. For each gene, the CGH data were represented by a vector that was labeled 1 for amplification (ratio, >1.43) and 0 for no amplification. Amplification was correlated with gene expression using the signal-to-noise statistics (1). We calculated a weight,  $w_s$ , for each gene as follows:

$$w_s = \frac{m_{s1} - m_{s0}}{\sigma_{s1} + \sigma_{s0}}$$

where  $m_{s1}$ ,  $\sigma_{s1}$ , and  $m_{s0}$ ,  $\sigma_{s0}$  denote the means and SDs for the expression levels for amplified and nonamplified cell lines, respectively. To assess the statistical significance of each weight, we performed 10,000 random permutations of the label vector. The probability that a gene had a larger or equal weight by random permutation than the original weight was denoted by  $\alpha$ . A low  $\alpha$  (<0.05) indicates a strong association between gene expression and amplification.

**Genomic Localization of cDNA Clones and Amplicon Mapping.** Each cDNA clone on the microarray was assigned to a Unigene cluster using the Unigene Build 141.<sup>6</sup> A database of genomic sequence alignment information for mRNA sequences was created from the August 2001 freeze of the University of California Santa Cruz's GoldenPath database.<sup>7</sup> The chromosome and bp positions for each cDNA clone were then retrieved by relating these data sets. Amplicons were defined as a CGH copy number ratio >2.0 in at least two adjacent clones in two or more cell lines or a CGH ratio >2.0 in at least three adjacent clones in a single cell line. The amplicon start and end positions were

<sup>6</sup> Internet address: [http://research.ncbi.nlm.nih.gov/microarray/downloadable\\_cdna.html](http://research.ncbi.nlm.nih.gov/microarray/downloadable_cdna.html).

<sup>7</sup> Internet address: [www.genome.ucsc.edu](http://www.genome.ucsc.edu).

Table 1. Summary of independent amplicons in 14 breast cancer cell lines by CGH microarray

Location	Start (Mb)	End (Mb)	Size (Mb)
1p13	132.79	132.94	0.2
1q21	173.92	177.25	3.3
1q22	179.28	179.57	0.3
3p14	71.94	74.66	2.7
7p12.1-7p11.2	55.62	60.95	5.3
7q31	125.73	130.96	5.2
7q32	140.01	140.68	0.7
8q21.11-8q21.13	86.45	92.46	6.0
8q21.3	98.45	103.05	4.6
8q23.3-8q24.14	129.88	142.15	12.3
8q24.22	151.21	152.16	1.0
9p13	38.65	39.25	0.6
13q22-q31	77.15	81.38	4.2
16q22	86.70	87.62	0.9
17q11	29.30	30.85	1.6
17q12-q21.2	39.79	42.80	3.0
17q21.32-q21.33	52.47	55.80	3.3
17q22-q23.3	63.81	69.70	5.9
17q23.3-q24.3	69.93	74.99	5.1
19q13	40.63	41.40	0.8
20q11.22	34.59	35.85	1.3
20q13.12	44.00	45.62	1.6
20q13.12-q13.13	46.45	49.43	3.0
20q13.2-q13.32	51.32	59.12	7.8

extended to include neighboring nonamplified clones (ratio, <1.5). The amplicon size determination was partially dependent on local clone density.

**FISH.** Dual-color interphase FISH to breast cancer cell lines was done as described (17). Bacterial artificial chromosome clone RP11-361K8 was labeled with SpectrumOrange (Vysis, Downers Grove, IL), and SpectrumOrange-labeled probe for *EGFR* was obtained from Vysis. SpectrumGreen-labeled chromosome 7 and 17 centromere probes (Vysis) were used as a reference. A tissue microarray containing 612 formalin-fixed, paraffin-embedded primary breast cancers (17) was applied in FISH analyses as described (18). The use of these specimens was approved by the Ethics Committee of the University of Basel and by the NIH. Specimens containing a 2-fold or higher increase in the number of test probe signals, as compared with corresponding centromere signals, in at least 10% of the tumor cells were considered to be amplified. Survival analysis was performed using the Kaplan-Meier method and the log-rank test.

**RT-PCR.** The *HOXB7* expression level was determined relative to *GAPDH*. Reverse transcription and PCR amplification were performed using Access RT-PCR System (Promega Corp., Madison, WI) with 10 ng of mRNA as a template. *HOXB7* primers were 5'-GAGCAGAGGGACTCGGACTT-3' and 5'-GCGTCAGGTAGCGATTGTAG-3'.

## RESULTS

**Global Effect of Copy Number on Gene Expression.** 13,824 arrayed cDNA clones were applied for analysis of gene expression and gene copy number (CGH microarrays) in 14 breast cancer cell lines. The results illustrate a considerable influence of copy number on gene expression patterns. Up to 44% of the highly amplified transcripts (CGH ratio, >2.5) were overexpressed (*i.e.*, belonged to the global upper 7% of expression ratios), compared with only 6% for genes with normal copy number levels (Fig. 1A). Conversely, 10.5% of the transcripts with high-level expression (cDNA ratio, >10) showed increased copy number (Fig. 1B). Low-level copy number increases and decreases were also associated with similar, although less dramatic, outcomes on gene expression (Fig. 1).

**Identification of Distinct Breast Cancer Amplicons.** Base-pair locations obtained for 11,994 cDNAs (86.8%) were used to plot copy number changes as a function of genomic position (Fig. 2, Supplement Fig. A). The average spacing of clones throughout the genome was 267 kb. This high-resolution mapping identified 24 independent breast cancer amplicons, spanning from 0.2 to 12 Mb of DNA (Table 1). Several amplification sites detected previously by chromosomal

CGH were validated, with 1q21, 17q12-q21.2, 17q22-q23, 20q13.1, and 20q13.2 regions being most commonly amplified. Furthermore, the boundaries of these amplicons were precisely delineated. In addition, novel amplicons were identified at 9p13 (38.65-39.25 Mb), and 17q21.3 (52.47-55.80 Mb).

**Direct Identification of Putative Amplification Target Genes.** The cDNA/CGH microarray technique enables the direct correlation of copy number and expression data on a gene-by-gene basis throughout the genome. We directly annotated high-resolution CGH plots with gene expression data using color coding. Fig. 2C shows that most of the amplified genes in the MCF-7 breast cancer cell line at 1p13, 17q22-q23, and 20q13 were highly overexpressed. A view of chromosome 7 in the MDA-468 cell line implicates *EGFR* as the most highly overexpressed and amplified gene at 7p11-p12 (Fig. 3A). In BT-474, the two known amplicons at 17q12 and 17q22-q23 contained numerous highly overexpressed genes (Fig. 3B). In addition, several genes, including the homeobox genes *HOXB2* and *HOXB7*, were highly amplified in a previously undescribed independent amplicon at 17q21.3. *HOXB7* was systematically amplified (as validated by FISH, Fig. 3B, inset) as well as overexpressed (as verified by RT-PCR, data not shown) in BT-474, UACC812, and ZR-75-30 cells. Furthermore, this novel

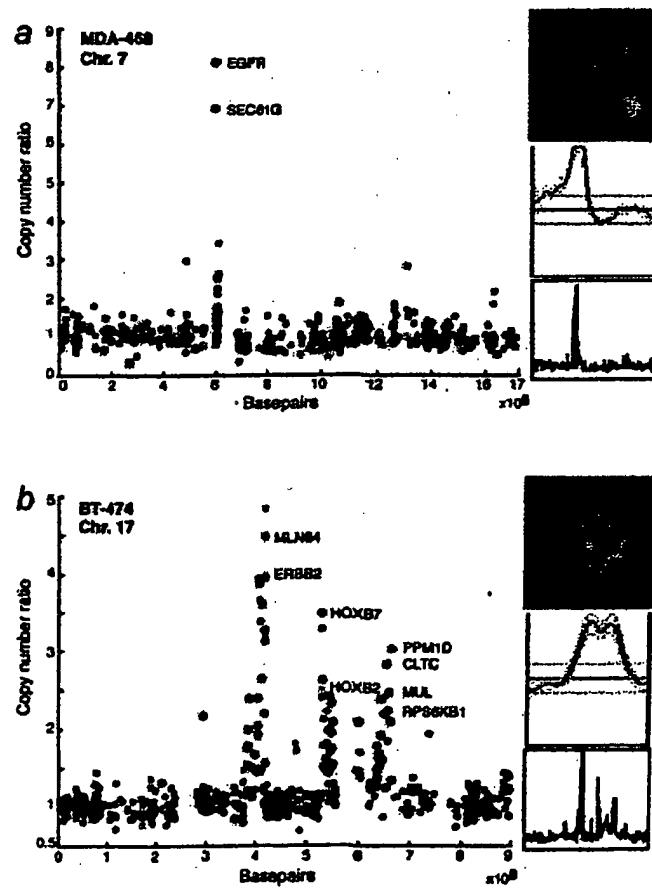


Fig. 3. Annotation of gene expression data on CGH microarray profiles. A, genes in the 7p11-p12 amplicon in the MDA-468 cell line are highly expressed (red dots) and include the *EGFR* oncogene. B, several genes in the 17q12, 17q21.3, and 17q23 amplicons in the BT-474 breast cancer cell line are highly overexpressed (red) and include the *HOXB7* gene. The data labels and color coding are as indicated for Fig. 2C. Insets show chromosomal CGH profiles for the corresponding chromosomes and validation of the increased copy number by interphase FISH using *EGFR* (red) and chromosome 7 centromere probe (green) to MDA-468 (A) and *HOXB7*-specific probe (red) and chromosome 17 centromere (green) to BT-474 cells (B).

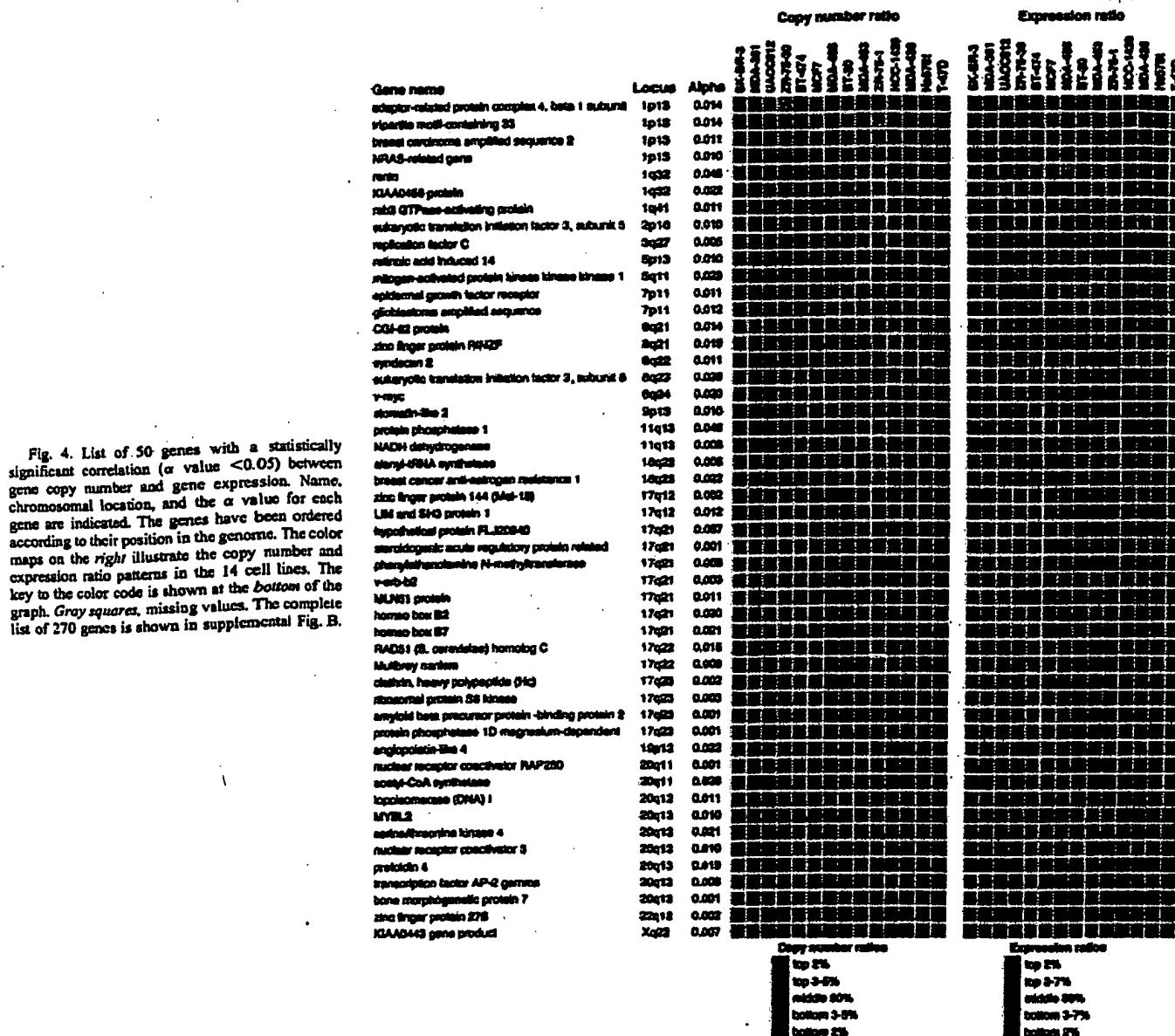


Fig. 4. List of 50 genes with a statistically significant correlation ( $\alpha$  value  $<0.05$ ) between gene copy number and gene expression. Name, chromosomal location, and the  $\alpha$  value for each gene are indicated. The genes have been ordered according to their position in the genome. The color maps on the right illustrate the copy number and expression ratio patterns in the 14 cell lines. The key to the color code is shown at the bottom of the graph. Gray squares, missing values. The complete list of 270 genes is shown in supplemental Fig. B.

amplification was validated to be present in 10.2% of 363 primary breast cancers by FISH to a tissue microarray and was associated with poor prognosis of the patients ( $P = 0.001$ ).

**Statistical Identification and Characterization of 270 Highly Expressed Genes in Amplicons.** Statistical comparison of expression levels of all genes as a function of gene amplification identified 270 genes whose expression was significantly influenced by copy number across all 14 cell lines (Fig. 4, Supplemental Fig. B). According to the gene ontology data,<sup>8</sup> 91 of the 270 genes represented hypothetical proteins or genes with no functional annotation, whereas 179 had associated functional information available. Of these, 151 (84%) are implicated in apoptosis, cell proliferation, signal transduction, and transcription, whereas 28 (16%) had functional annotations that could not be directly linked with cancer.

## DISCUSSION

The importance of recurrent gene and chromosome copy number changes in the development and progression of solid tumors has been characterized in  $>1000$  publications applying CGH<sup>9</sup> (9, 10), as well as in a large number of other molecular cytogenetic, cytogenetic, and molecular genetic studies. The effects of these somatic genetic changes on gene expression levels have remained largely unknown, although a few studies have explored gene expression changes occurring in specific amplicons (15, 19–21). Here, we applied genome-wide cDNA microarrays to identify transcripts whose expression changes were attributable to underlying gene copy number alterations in breast cancer.

The overall impact of copy number on gene expression patterns was substantial with the most dramatic effects seen in the case of high-

<sup>8</sup> Internet address: <http://www.geneontology.org/>.

<sup>9</sup> Internet address: <http://www.ncbi.nlm.nih.gov/entrez>.

level copy number increase. Low-level copy number gains and losses also had a significant influence on expression levels of genes in the regions affected, but these effects were more subtle on a gene-by-gene basis than those of high-level amplifications. However, the impact of low-level gains on the dysregulation of gene expression patterns in cancer may be equally important if not more important than that of high-level amplifications. Aneuploidy and low-level gains and losses of chromosomal arms represent the most common types of genetic alterations in breast and other cancers and, therefore, have an influence on many genes. Our results in breast cancer extend the recent studies on the impact of aneuploidy on global gene expression patterns in yeast cells, acute myeloid leukemia, and a prostate cancer model system (22-24).

The CGH microarray analysis identified 24 independent breast cancer amplicons. We defined the precise boundaries for many amplicons detected previously by chromosomal CGH (9, 10, 25, 26) and also discovered novel amplicons that had not been detected previously, presumably because of their small size (only 1-2 Mb) or close proximity to other larger amplicons. One of these novel amplicons involved the homeobox gene region at 17q21.3 and led to the overexpression of the *HOXB7* and *HOXB2* genes. The homeodomain transcription factors are known to be key regulators of embryonic development and have been occasionally reported to undergo aberrant expression in cancer (27, 28). *HOXB7* transfection induced cell proliferation in melanoma, breast, and ovarian cancer cells and increased tumorigenicity and angiogenesis in breast cancer (29-32). The present results imply that gene amplification may be a prominent mechanism for overexpressing *HOXB7* in breast cancer and suggest that *HOXB7* contributes to tumor progression and confers an aggressive disease phenotype in breast cancer. This view is supported by our finding of amplification of *HOXB7* in 10% of 363 primary breast cancers, as well as an association of amplification with poor prognosis of the patients.

We carried out a systematic search to identify genes whose expression levels across all 14 cell lines were attributable to amplification status. Statistical analysis revealed 270 such genes (representing ~2% of all genes on the array), including not only previously described amplified genes, such as *HER-2*, *MYC*, *EGFR*, ribosomal protein S6 kinase, and *A/B3*, but also numerous novel genes such as *NRAS-related gene* (1p13), *syndecan-2* (8q22), and *bone morphogenic protein* (20q13.1), whose activation by amplification may similarly promote breast cancer progression. Most of the 270 genes have not been implicated previously in breast cancer development and suggest novel pathogenetic mechanisms. Although we would not expect all of them to be causally involved, it is intriguing that 84% of the genes with associated functional information were implicated in apoptosis, cell proliferation, signal transduction, transcription, or other cellular processes that could directly imply a possible role in cancer progression. Therefore, a detailed characterization of these genes may provide biological insights to breast cancer progression and might lead to the development of novel therapeutic strategies.

In summary, we demonstrate application of cDNA microarrays to the analysis of both copy number and expression levels of over 12,000 transcripts throughout the breast cancer genome, roughly once every 267 kb. This analysis provided: (a) evidence of a prominent global influence of copy number changes on gene expression levels; (b) a high-resolution map of 24 independent amplicons in breast cancer; and (c) identification of a set of 270 genes, the overexpression of which was statistically attributable to gene amplification. Characterization of a novel amplicon at 17q21.3 implicated amplification and overexpression of the *HOXB7* gene in breast cancer, including a clinical association

between *HOXB7* amplification and poor patient prognosis. Overall, our results illustrate how the identification of genes activated by gene amplification provides a powerful approach to highlight genes with an important role in cancer as well as to prioritize and validate putative targets for therapy development.

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# Microarray analysis reveals a major direct role of DNA copy number alteration in the transcriptional program of human breast tumors

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Genomic DNA copy number alterations are key genetic events in the development and progression of human cancers. Here we report a genome-wide microarray comparative genomic hybridization (array CGH) analysis of DNA copy number variation in a series of primary human breast tumors. We have profiled DNA copy number alteration across 6,691 mapped human genes, in 44 predominantly advanced, primary breast tumors and 10 breast cancer cell lines. While the overall patterns of DNA amplification and deletion corroborate previous cytogenetic studies, the high-resolution (gene-by-gene) mapping of amplicon boundaries and the quantitative analysis of amplicon shape provide significant improvement in the localization of candidate oncogenes. Parallel microarray measurements of mRNA levels reveal the remarkable degree to which variation in gene copy number contributes to variation in gene expression in tumor cells. Specifically, we find that 62% of highly amplified genes show moderately or highly elevated expression, that DNA copy number influences gene expression across a wide range of DNA copy number alterations (deletion, low-, mid- and high-level amplification), that on average, a 2-fold change in DNA copy number is associated with a corresponding 1.5-fold change in mRNA levels, and that overall, at least 12% of all the variation in gene expression among the breast tumors is directly attributable to underlying variation in gene copy number. These findings provide evidence that widespread DNA copy number alteration can lead directly to global deregulation of gene expression, which may contribute to the development or progression of cancer.

Conventional cytogenetic techniques, including comparative genomic hybridization (CGH) (1), have led to the identification of a number of recurrent regions of DNA copy number alteration in breast cancer cell lines and tumors (2–4). While some of these regions contain known or candidate oncogenes [e.g., FGFR1 (8p11), MYC (8q24), CCND1 (11q13), ERBB2 (17q12), and ZNF217 (20q13)] and tumor suppressor genes [RB1 (13q14) and TP53 (17p13)], the relevant gene(s) within other regions (e.g., gain of 1q, 8q22, and 17q22–24, and loss of 8p) remain to be identified. A high-resolution genome-wide map, delineating the boundaries of DNA copy number alterations in tumors, should facilitate the localization and identification of oncogenes and tumor suppressor genes in breast cancer. In this study, we have created such a map, using array-based CGH (5–7) to profile DNA copy number alteration in a series of breast cancer cell lines and primary tumors.

An unresolved question is the extent to which the widespread DNA copy number changes that we and others have identified in breast tumors alter expression of genes within involved regions. Because we had measured mRNA levels in parallel in the same samples (8), using the same DNA microarrays, we had an opportunity to explore on a genomic scale the relationship between DNA copy number changes and gene expression. From

this analysis, we have identified a significant impact of widespread DNA copy number alteration on the transcriptional programs of breast tumors.

## Materials and Methods

**Tumors and Cell Lines.** Primary breast tumors were predominantly large (>3 cm), intermediate-grade, infiltrating ductal carcinomas, with more than 50% being lymph node positive. The fraction of tumor cells within specimens averaged at least 50%. Details of individual tumors have been published (8, 9), and are summarized in Table 1, which is published as supporting information on the PNAS web site, [www.pnas.org](http://www.pnas.org). Breast cancer cell lines were obtained from the American Type Culture Collection. Genomic DNA was isolated either using Qiagen genomic DNA columns, or by phenol/chloroform extraction followed by ethanol precipitation.

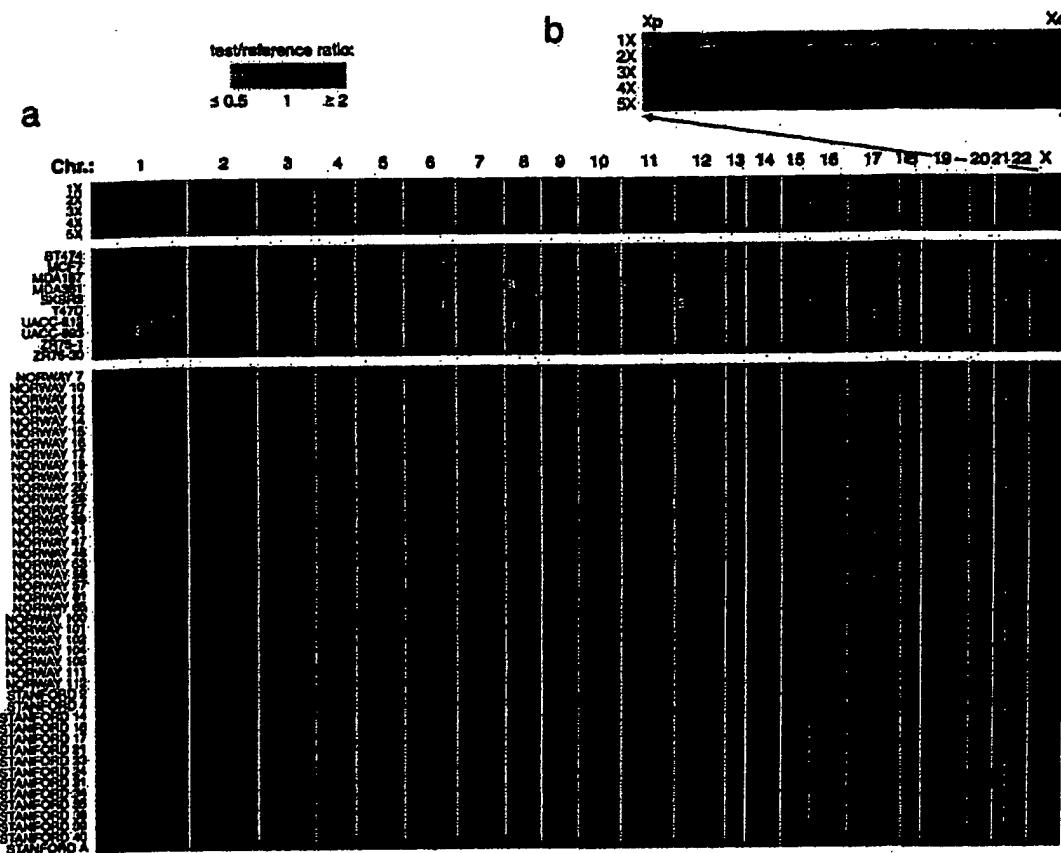
**DNA Labeling and Microarray Hybridizations.** Genomic DNA labeling and hybridizations were performed essentially as described in Pollack *et al.* (7), with slight modifications. Two micrograms of DNA was labeled in a total volume of 50 microliters and the volumes of all reagents were adjusted accordingly. "Test" DNA (from tumors and cell lines) was fluorescently labeled (Cy5) and hybridized to a human cDNA microarray containing 6,691 different mapped human genes (i.e., UniGene clusters). The "reference" (labeled with Cy3) for each hybridization was normal female leukocyte DNA from a single donor. The fabrication of cDNA microarrays and the labeling and hybridization of mRNA samples have been described (8).

**Data Analysis and Map Positions.** Hybridized arrays were scanned on a GenePix scanner (Axon Instruments, Foster City, CA), and fluorescence ratios (test/reference) calculated using SCANALYZE software (available at <http://rana.lbl.gov>). Fluorescence ratios were normalized for each array by setting the average log fluorescence ratio for all array elements equal to 0. Measurements with fluorescence intensities more than 20% above background were considered reliable. DNA copy number profiles that deviated significantly from background ratios measured in normal genomic DNA control hybridizations were interpreted as evidence of real DNA copy number alteration (see *Estimating Significance of Altered Fluorescence Ratios* in the supporting information). When indicated, DNA copy number profiles are displayed as a moving average (symmetric 5-nearest neighbors). Map positions for arrayed human cDNAs were assigned by

Abbreviation: CGH, comparative genomic hybridization.

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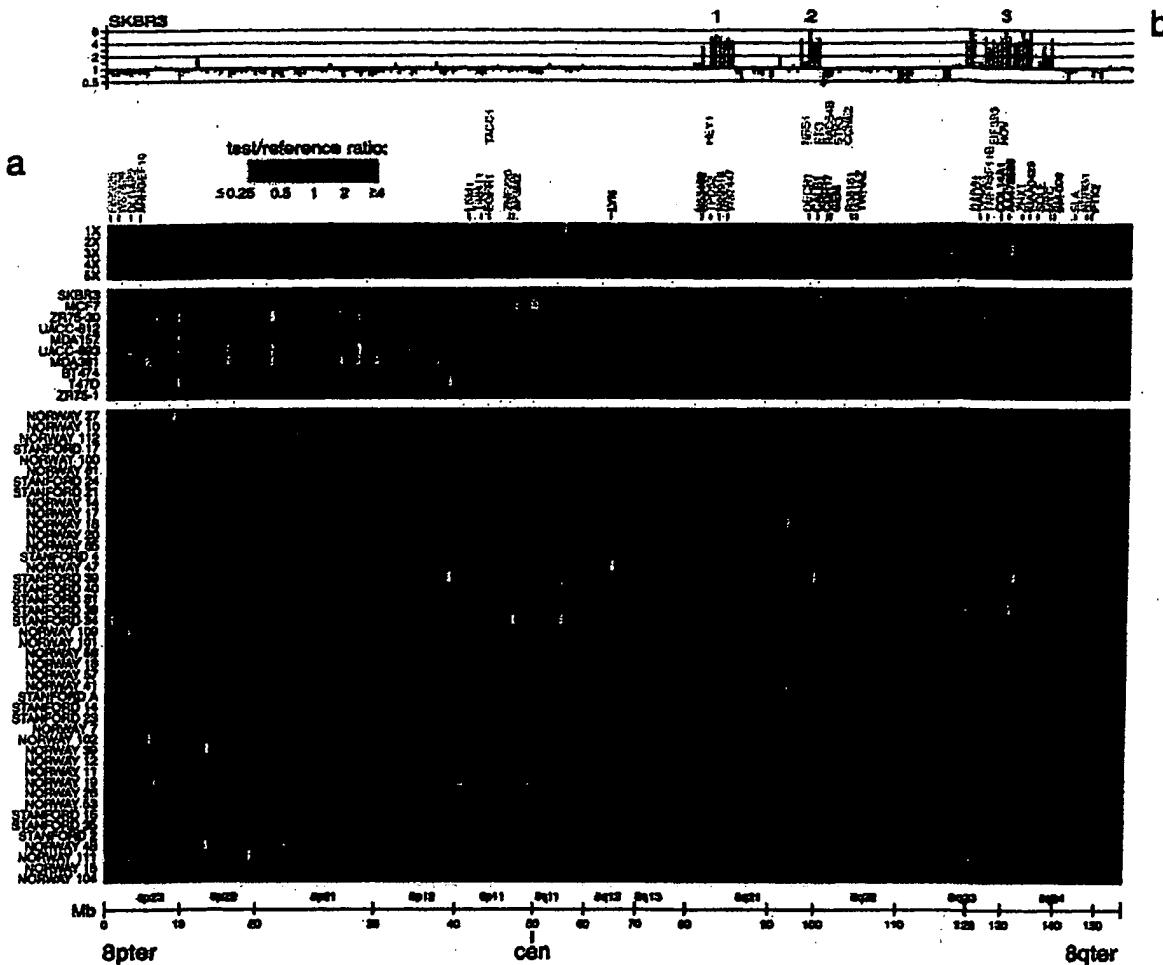
**Fig. 1.** Genome-wide measurement of DNA copy number alteration by array CGH. (a) DNA copy number profiles are illustrated for cell lines containing different numbers of X chromosomes, for breast cancer cell lines, and for breast tumors. Each row represents a different cell line or tumor, and each column represents one of 6,691 different mapped human genes present on the microarray, ordered by genome map position from 1pter through Xqter. Moving average (symmetric 5-nearest neighbors) fluorescence ratios (test/reference) are depicted using a log<sub>2</sub>-based pseudocolor scale (indicated), such that red luminescence reflects fold-amplification, green luminescence reflects fold-deletion, and black indicates no change (gray indicates poorly measured data). (b) Enlarged view of DNA copy number profiles across the X chromosome, shown for cell lines containing different numbers of X chromosomes.

identifying the starting position of the best and longest match of any DNA sequence represented in the corresponding UniGene cluster (10) against the "Golden Path" genome assembly (<http://genome.ucsc.edu/>; Oct 7, 2000 Freeze). For UniGene clusters represented by multiple arrayed elements, mean fluorescence ratios (for all elements representing the same UniGene cluster) are reported. For mRNA measurements, fluorescence ratios are "mean-centered" (i.e., reported relative to the mean ratio across the 44 tumor samples). The data set described here can be accessed in its entirety in the supporting information.

## Results

We performed CGH on 44 predominantly locally advanced, primary breast tumors and 10 breast cancer cell lines, using cDNA microarrays containing 6,691 different mapped human genes (Fig. 1a; also see *Materials and Methods* for details of microarray hybridizations). To take full advantage of the improved spatial resolution of array CGH, we ordered (fluorescence ratios for the 6,691 cDNAs according to the "Golden Path" (<http://genome.ucsc.edu/>) genome assembly of the draft human genome sequences (11). In so doing, arrayed cDNAs not only themselves represent genes of potential interest (e.g., candidate oncogenes within amplicons), but also provide precise genetic landmarks for chromosomal regions of amplification and

deletion. Parallel analysis of DNA from cell lines containing different numbers of X chromosomes (Fig. 1b), as we did before (7), demonstrated the sensitivity of our method to detect single-copy loss (45, XO), and 1.5- (47,XXX), 2- (48,XXXX), or 2.5-fold (49,XXXXX) gains (also see Fig. 5, which is published as supporting information on the PNAS web site). Fluorescence ratios were linearly proportional to copy number ratios, which were slightly underestimated, in agreement with previous observations (7). Numerous DNA copy number alterations were evident in both the breast cancer cell lines and primary tumors (Fig. 1a), detected in the tumors despite the presence of euploid non-tumor cell types; the magnitudes of the observed changes were generally lower in the tumor samples. DNA copy-number alterations were found in every cancer cell line and tumor, and on every human chromosome in at least one sample. Recurrent regions of DNA copy number gain and loss were readily identifiable. For example, gains within 1q, 8q, 17q, and 20q were observed in a high proportion of breast cancer cell lines/tumors (90%/69%, 100%/47%, 100%/60%, and 90%/44%, respectively), as were losses within 1p, 3p, 8p, and 13q (80%/24%, 80%/22%, 80%/22%, and 70%/18%, respectively), consistent with published cytogenetic studies (refs. 2–4; a complete listing of gains/losses is provided in Tables 2 and 3, which are published as supporting information on the PNAS web site). The total



**Fig. 2.** DNA copy number alteration across chromosome 8 by array CGH. (a) DNA copy number profiles are illustrated for cell lines containing different numbers of X chromosomes, for breast cancer cell lines, and for breast tumors. Breast cancer cell lines and tumors are separately ordered by hierarchical clustering to highlight recurrent copy number changes. The 241 genes present on the microarrays and mapping to chromosome 8 are ordered by position along the chromosome. Fluorescence ratios (test/reference) are depicted by a log<sub>2</sub> pseudocolor scale (indicated). Selected genes are indicated with color-coded text (red, increased; green, decreased; black, no change; gray, not well measured) to reflect correspondingly altered mRNA levels (observed in the majority of the subset of samples displaying the DNA copy number change). The map positions for genes of interest that are not represented on the microarray are indicated in the row above those genes represented on the array. (b) Graphical display of DNA copy number profile for breast cancer cell line SKBR3. Fluorescence ratios (tumor/normal) are plotted on a log<sub>2</sub> scale for chromosome 8 genes, ordered along the chromosome.

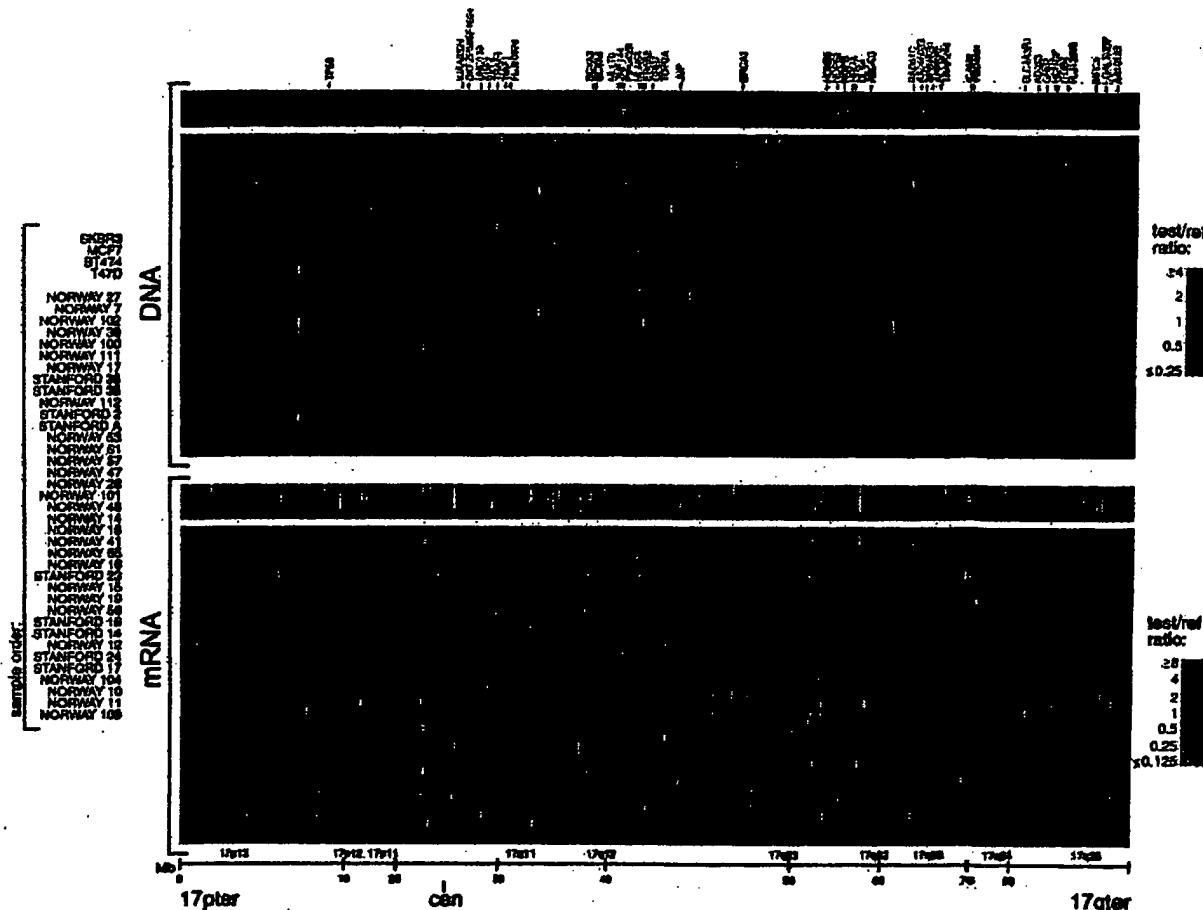
number of genomic alterations (gains and losses) was found to be significantly higher in breast tumors that were high grade ( $P = 0.008$ ), consistent with published CGH data (3), estrogen receptor negative ( $P = 0.04$ ), and harboring TP53 mutations ( $P = 0.0006$ ) (see Table 4, which is published as supporting information on the PNAS web site).

The improved spatial resolution of our array CGH analysis is illustrated for chromosome 8, which displayed extensive DNA copy number alteration in our series. A detailed view of the variation in the copy number of 241 genes mapping to chromosome 8 revealed multiple regions of recurrent amplification; each of these potentially harbors a different known or previously uncharacterized oncogene (Fig. 2a). The complexity of amplicon structure is most easily appreciated in the breast cancer cell line SKBR3. Although a conventional CGH analysis of 8q in SKBR3 identified only two distinct regions of amplification (12), we observed three distinct regions of high-level amplification (labeled 1-3 in Fig. 2b). For each of these regions we can define the

boundaries of the interval recurrently amplified in the tumors we examined; in each case, known or plausible candidate oncogenes can be identified (a description of these regions, as well as the recurrently amplified regions on chromosomes 17 and 20, can be found in Figs. 6 and 7, which are published as supporting information on the PNAS web site).

For a subset of breast cancer cell lines and tumors (4 and 37, respectively), and a subset of arrayed genes (6,095), mRNA levels were quantitatively measured in parallel by using cDNA microarrays (8). The parallel assessment of mRNA levels is useful in the interpretation of DNA copy number changes. For example, the highly amplified genes that are also highly expressed are the strongest candidate oncogenes within an amplicon. Perhaps more significantly, our parallel analysis of DNA copy number changes and mRNA levels provides us the opportunity to assess the global impact of widespread DNA copy number alteration on gene expression in tumor cells.

**A strong influence of DNA copy number on gene expression is evident in an examination of the pseudocolor representations**

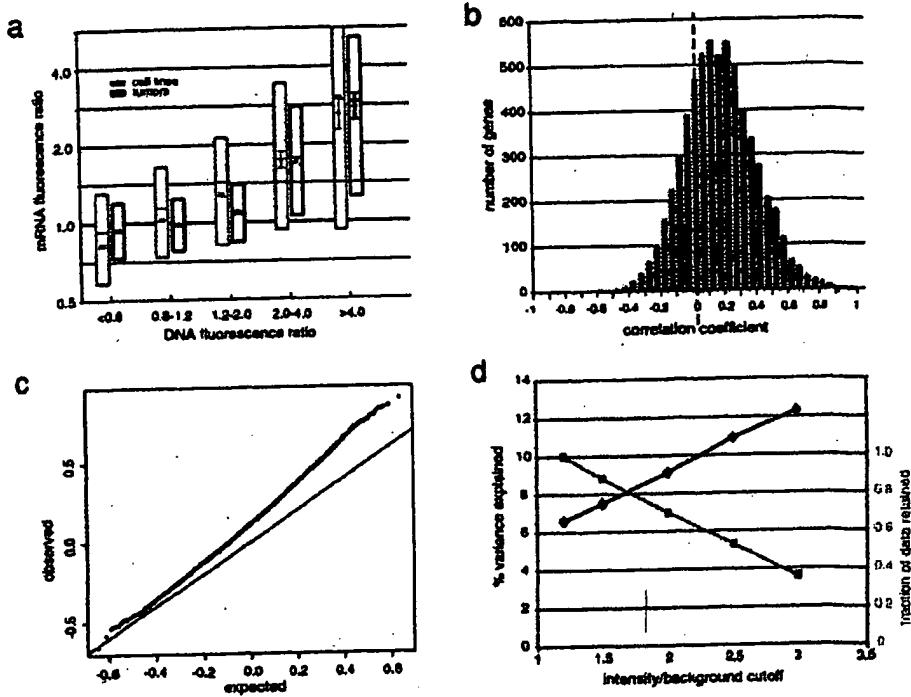


**Fig. 3.** Concordance between DNA copy number and gene expression across chromosome 17. DNA copy number alteration (*Upper*) and mRNA levels (*Lower*) are illustrated for breast cancer cell lines and tumors. Breast cancer cell lines and tumors are separately ordered by hierarchical clustering (*Upper*), and the identical sample order is maintained (*Lower*). The 354 genes present on the microarrays and mapping to chromosome 17, and for which both DNA copy number and mRNA levels were determined, are ordered by position along the chromosome; selected genes are indicated in color-coded text (see Fig. 2 legend). Fluorescence ratios (test/reference) are depicted by separate  $\log_2$  pseudocolor scales (indicated).

of DNA copy number and mRNA levels for genes on chromosome 17 (Fig. 3). The overall patterns of gene amplification and elevated gene expression are quite concordant; i.e., a significant fraction of highly amplified genes appear to be correspondingly highly expressed. The concordance between high-level amplification and increased gene expression is not restricted to chromosome 17. Genome-wide, of 117 high-level DNA amplifications (fluorescence ratios  $>4$ , and representing 91 different genes), 62% (representing 54 different genes; see Table 5, which is published as supporting information on the PNAS web site) are found associated with at least moderately elevated mRNA levels (mean-centered fluorescence ratios  $>2$ ), and 42% (representing 36 different genes) are found associated with comparably highly elevated mRNA levels (mean-centered fluorescence ratios  $>4$ ).

To determine the extent to which DNA deletion and lower-level amplification (in addition to high-level amplification) are also associated with corresponding alterations in mRNA levels, we performed three separate analyses on the complete data set (4 cell lines and 37 tumors, across 6,095 genes). First, we determined the average mRNA levels for each of five classes of genes, representing DNA deletion, no change, and low-, medium-, and high-level amplification (Fig. 4a). For both the

breast cancer cell lines and tumors, average mRNA levels tracked with DNA copy number across all five classes, in a statistically significant fashion ( $P$  values for pair-wise Student's  $t$  tests comparing adjacent classes: cell lines,  $4 \times 10^{-49}, 1 \times 10^{-49}, 5 \times 10^{-5}, 1 \times 10^{-2}$ ; tumors,  $1 \times 10^{-43}, 1 \times 10^{-214}, 5 \times 10^{-41}, 1 \times 10^{-4}$ ). A linear regression of the average  $\log(\text{DNA copy number})$ , for each class, against average  $\log(\text{mRNA level})$  demonstrated that on average, a 2-fold change in DNA copy number was accompanied by 1.4- and 1.5-fold changes in mRNA level for the breast cancer cell lines and tumors, respectively (Fig. 4a, regression line not shown). Second, we characterized the distribution of the 6,095 correlations between DNA copy number and mRNA level, each across the 37 tumor samples (Fig. 4b). The distribution of correlations forms a normal-shaped curve, but with the peak markedly shifted in the positive direction from zero. This shift is statistically significant, as evidenced in a plot of observed vs. expected correlations (Fig. 4c), and reflects a pervasive global influence of DNA copy number alterations on gene expression. Notably, the highest correlations between DNA copy number and mRNA level (the right tail of the distribution in Fig. 4b) comprise both amplified and deleted genes (data not shown). Third, we used a linear regression model to estimate the fraction of all variation measured in mRNA levels among the 37



**Fig. 4. Genome-wide influence of DNA copy number alterations on mRNA levels.** (a) For breast cancer cell lines (gray) and tumor samples (black), both mean-centered mRNA fluorescence ratio ( $\log_2$  scale) quartiles (box plots indicate 25th, 50th, and 75th percentile) and averages (diamonds; Y-value error bars indicate standard errors of the mean) are plotted for each of five classes of genes, representing DNA deletion (tumor/normal ratio  $< 0.8$ ), no change (0.8–1.2), low- (1.2–2), medium- (2–4), and high-level ( $> 4$ ) amplification.  $P$  values for pair-wise Student's  $t$  tests, comparing averages between adjacent classes (moving left to right), are  $4 \times 10^{-49}$ ,  $1 \times 10^{-69}$ ,  $5 \times 10^{-1}$ ,  $1 \times 10^{-2}$  (cell lines), and  $1 \times 10^{-43}$ ,  $1 \times 10^{-214}$ ,  $5 \times 10^{-41}$ ,  $1 \times 10^{-4}$  (tumors). (b) Distribution of correlations between DNA copy number and mRNA levels, for 6,095 different human genes across 37 breast tumor samples. (c) Plot of observed versus expected correlation coefficients. The expected values were obtained by randomization of the sample labels in the DNA copy number data set. The line of unity is indicated. (d) Percent variance in gene expression (among tumors) directly explained by variation in gene copy number. Percent variance explained (black line) and fraction of data retained (gray line) are plotted for different fluorescence intensity/background (a rough surrogate for signal/noise) cutoff values. Fraction of data retained is relative to the 1.2 intensity/background cutoff. Details of the linear regression model used to estimate the fraction of variation in gene expression attributable to underlying DNA copy number alteration can be found in the supporting information (see *Estimating the Fraction of Variation in Gene Expression Attributable to Underlying DNA Copy Number Alteration*).

tumors that could be attributed to underlying variation in DNA copy number. From this analysis, we estimate that, overall, about 7% of all of the observed variation in mRNA levels can be explained directly by variation in copy number of the altered genes (Fig. 4d). We can reduce the effects of experimental measurement error on this estimate by using only that fraction of the data most reliably measured (fluorescence intensity/background >3); using that data, our estimate of the percent variation in mRNA levels directly attributed to variation in gene copy number increases to 12% (Fig. 4d). This still undoubtedly represents a significant underestimate, as the observed variation in global gene expression is affected not only by true variation in the expression programs of the tumor cells themselves, but also by the variable presence of non-tumor cell types within clinical samples.

## Discussion

This genome-wide, array CGH analysis of DNA copy number alteration in a series of human breast tumors demonstrates the usefulness of defining amplicon boundaries at high resolution (gene-by-gene), and quantitatively measuring amplicon shape, to assist in locating and identifying candidate oncogenes. By analyzing mRNA levels in parallel, we have also discovered that changes in DNA copy number have a large, pervasive, direct effect on global gene expression patterns in both breast cancer

cell lines and tumors. Although the DNA microarrays used in our analysis may display a bias toward characterized and/or highly expressed genes, because we are examining such a large fraction of the genome (approximately 20% of all human genes), and because, as detailed above, we are likely underestimating the contribution of DNA copy number changes to altered gene expression, we believe our findings are likely to be generalizable (but would nevertheless still be remarkable if only applicable to this set of ~6,100 genes).

In budding yeast, aneuploidy has been shown to result in chromosome-wide gene expression biases (13). Two recent studies have begun to examine the global relationship between DNA copy number and gene expression in cancer cells. In agreement with our findings, Phillips *et al.* (14) have shown that with the acquisition of tumorigenicity in an immortalized prostate epithelial cell line, new chromosomal gains and losses resulted in a statistically significant respective increase and decrease in the average expression level of involved genes. In contrast, Platzer *et al.* (15) recently reported that in metastatic colon tumors only ~4% of genes within amplified regions were found more highly (>2-fold) expressed, when compared with normal colonic epithelium. This report differs substantially from our finding that 62% of highly amplified genes in breast cancer exhibit at least 2-fold increased expression. These contrasting findings may reflect methodological differences between the

studies. For example, the study of Platzer *et al.* (15) may have systematically under-measured gene expression changes. In this regard it is remarkable that only 14 transcripts of many thousand residing within unamplified chromosomal regions were found to exhibit at least 4-fold altered expression in metastatic colon cancer. Additionally, their reliance on lower-resolution chromosomal CGH may have resulted in poorly delimiting the boundaries of high-complexity amplicons, effectively overcalling regions with amplification. Alternatively, the contrasting findings for amplified genes may represent real biological differences between breast and metastatic colon tumors; resolution of this issue will require further studies.

Our finding that widespread DNA copy number alteration has a large, pervasive and direct effect on global gene expression patterns in breast cancer has several important implications. First, this finding supports a high degree of copy number-dependent gene expression in tumors. Second, it suggests that most genes are not subject to specific autoregulation or dosage compensation. Third, this finding cautions that elevated expression of an amplified gene cannot alone be considered strong independent evidence of a candidate oncogene's role in tumorigenesis. In our study, fully 62% of highly amplified genes demonstrated moderately or highly elevated expression. This highlights the importance of high-resolution mapping of amplicon boundaries and shape [to identify the "driving" gene(s) within amplicons (16)], on a large number of samples, in addition to functional studies. Fourth, this finding suggests that analyzing

the genomic distribution of expressed genes, even within existing microarray gene expression data sets, may permit the inference of DNA copy number aberration, particularly aneuploidy (where gene expression can be averaged across large chromosomal regions; see Fig. 3 and supporting information). Fifth, this finding implies that a substantial portion of the phenotypic uniqueness (and by extension, the heterogeneity in clinical behavior) among patients' tumors may be traceable to underlying variation in DNA copy number. Sixth, this finding supports a possible role for widespread DNA copy number alteration in tumorigenesis (17, 18), beyond the amplification of specific oncogenes and deletion of specific tumor suppressor genes. Widespread DNA copy number alteration, and the concomitant widespread imbalance in gene expression, might disrupt critical stoichiometric relationships in cell metabolism and physiology (e.g., proteosome, mitotic spindle), possibly promoting further chromosomal instability and directly contributing to tumor development or progression. Finally, our findings suggest the possibility of cancer therapies that exploit specific or global imbalances in gene expression in cancer.

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# TECHNICAL UPDATE

FROM YOUR LABORATORY SERVICES PROVIDER

## HER-2/neu Breast Cancer Predictive Testing

*Julie Sanford Hanna, Ph.D. and Dan Mornin, M.D.*

EACH YEAR, OVER 182,000 WOMEN in the United States are diagnosed with breast cancer, and approximately 45,000 die of the disease.<sup>1</sup> Incidence appears to be increasing in the United States at a rate of roughly 2% per year. The reasons for the increase are unclear, but non-genetic risk factors appear to play a large role.<sup>2</sup>

Five-year survival rates range from approximately 65%-85%, depending on demographic group, with a significant percentage of women experiencing recurrence of their cancer within 10 years of diagnosis. One of the factors most predictive for recurrence once a diagnosis of breast cancer has been made is the number of axillary lymph nodes to which tumor has metastasized. Most node-positive women are given adjuvant therapy, which increases their survival. However, 20%-30% of patients without axillary node involvement also develop recurrent disease, and the difficulty lies in how to identify this high-risk subset of patients. These patients could benefit from increased surveillance, early intervention, and treatment.

Prognostic markers currently used in breast cancer recurrence prediction include tumor size, histological grade, steroid hormone receptor status, DNA ploidy, proliferative index, and cathepsin D status. Expression of growth factor receptors and over-expression of the HER-2/neu oncogene have also been identified as having value regarding treatment regimen and prognosis.

HER-2/neu (also known as c-erbB2) is an oncogene that encodes a transmembrane glycoprotein that is homologous to, but distinct from, the epidermal growth factor receptor. Numerous studies have indicated that high levels of expression of this protein are associated with rapid tumor growth, certain forms of therapy resistance, and shorter disease-free survival. The gene has been shown to be amplified and/or overexpressed in 10%-30% of invasive breast cancers and in 40%-60% of intraductal carcinoma.<sup>3</sup>

There are two distinct FDA-approved methods by which HER-2/neu status can be evaluated: immunohistochemistry (IHC, HercepTest<sup>TM</sup>) and FISH (fluorescent in situ hybridization, PathVysion<sup>TM</sup> Kit). Both methods can be performed on archived and current specimens. The first method allows visual assessment of the amount of HER-2/neu protein present on the cell membrane. The latter method allows direct quantification of the level of gene amplification present in the tumor, enabling differentiation between low- versus high-amplification. At least one study has demonstrated a difference in

recurrence risk in women younger than 40 years of age for low- versus high-amplified tumors (54.5% compared to 85.7%); this is compared to a recurrence rate of 16.7% for patients with no HER-2/neu gene amplification.<sup>4</sup> HER-2/neu status may be particularly important to establish in women with small ( $\leq 1$  cm) tumor size.

The choice of methodology for determination of HER-2/neu status depends in part on the clinical setting. FDA approval for the Vysis FISH test was granted based on clinical trials involving 1549 node-positive patients. Patients received one of three different treatments consisting of different doses of cyclophosphamide, Adriamycin, and 5-fluorouracil (CAF). The study showed that patients with amplified HER-2/neu benefited from treatment with higher doses of adriamycin-based therapy, while those with normal HER-2/neu levels did not. The study therefore identified a sub-set of women, who because they did not benefit from more aggressive treatment, did not need to be exposed to the associated side effects. In addition, other evidence indicates that HER-2/neu amplification in node-negative patients can be used as an independent prognostic indicator for early recurrence, recurrent disease at any time and disease-related death.<sup>5</sup> Demonstration of HER-2/neu gene amplification by FISH has also been shown to be of value in predicting response to chemotherapy in stage-2 breast cancer patients.

Selection of patients for Herceptin<sup>®</sup> (Trastuzumab) monoclonal antibody therapy, however, is based upon demonstration of HER-2/neu protein overexpression using HercepTest<sup>TM</sup>. Studies using Herceptin<sup>®</sup> in patients with metastatic breast cancer show an increase in time to disease progression, increased response rate to chemotherapeutic agents and a small increase in overall survival rate. The FISH assays have not yet been approved for this purpose, and studies looking at response to Herceptin<sup>®</sup> in patients with or without gene amplification status determined by FISH are in progress.

In general, FISH and IHC results correlate well. However, subsets of tumors are found which show discordant results; i.e., protein overexpression without gene amplification or lack of protein overexpression with gene amplification. The clinical significance of such results is unclear. Based on the above considerations, HER-2/neu testing at SHMC/PAML will utilize immunohistochemistry (HercepTest<sup>®</sup>) as a screen, followed by FISH in IHC-negative cases. Alternatively, either method may be ordered individually depending on the clinical setting or clinician preference.

## CPT code information

### HER-2/neu via IHC

88342 (including interpretive report)

### HER-2/neu via FISH

88271x2 Molecular cytogenetics, DNA probe, each  
88274 Molecular cytogenetics, interphase *in situ* hybridization, analyze 25-99 cells  
88291 Cytogenetics and molecular cytogenetics, interpretation and report

## Procedural Information

Immunohistochemistry is performed using the FDA-approved DAKO antibody kit, Herceptest®. The DAKO kit contains reagents required to complete a two-step immunohistochemical staining procedure for routinely processed, paraffin-embedded specimens. Following incubation with the primary rabbit antibody to human HER-2/neu protein, the kit employs a ready-to-use dextran-based visualization reagent. This reagent consists of both secondary goat anti-rabbit antibody molecules with horseradish peroxidase molecules linked to a common dextran polymer backbone, thus eliminating the need for sequential application of link antibody and peroxidase conjugated antibody. Enzymatic conversion of the subsequently added chromogen results in formation of visible reaction product at the antigen site. The specimen is then counterstained; a pathologist using light-microscopy interprets results.

FISH analysis at SHMC/PAML is performed using the FDA-approved PathVysion™ HER-2/neu DNA probe kit, produced by Vysis, Inc. Formalin fixed, paraffin-embedded breast tissue is processed using routine histological methods, and then slides are treated to allow hybridization of DNA probes to the nuclei present in the tissue section. The Pathvysion™ kit contains two direct-labeled DNA probes, one specific for the alphoid repetitive DNA (CEP 17, spectrum orange) present at the chromosome 17 centromere and the second for the HER-2/neu oncogene located at 17q11.2-12 (spectrum green). Enumeration of the probes allows a ratio of the number of copies of chromosome 17 to the number of copies of HER-2/neu to be obtained; this enables quantification of low versus high amplification levels, and allows an estimate of the percentage of cells with HER-2/neu gene amplification. The clinically relevant distinction is whether the gene amplification is due to increased gene copy number on the two chromosome 17 homologues normally present or an increase in the number of chromosome 17s in the cells. In the majority of cases, ratio equivalents less than 2.0 are indicative of a normal/negative result, ratios of 2.1 and over indicate that amplification is present and to what degree. Interpretation of this data will be performed and reported from the Vysis-certified Cytogenetics laboratory at SHMC.

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## WISP genes are members of the connective tissue growth factor family that are up-regulated in Wnt-1-transformed cells and aberrantly expressed in human colon tumors

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**ABSTRACT** Wnt family members are critical to many developmental processes, and components of the Wnt signaling pathway have been linked to tumorigenesis in familial and sporadic colon carcinomas. Here we report the identification of two genes, *WISP-1* and *WISP-2*, that are up-regulated in the mouse mammary epithelial cell line C57MG transformed by Wnt-1, but not by Wnt-4. Together with a third related gene, *WISP-3*, these proteins define a subfamily of the connective tissue growth factor family. Two distinct systems demonstrated *WISP* induction to be associated with the expression of Wnt-1. These included (i) C57MG cells infected with a Wnt-1 retroviral vector or expressing Wnt-1 under the control of a tetracycline-repressible promoter, and (ii) Wnt-1 transgenic mice. The *WISP-1* gene was localized to human chromosome 8q24.1-8q24.3. *WISP-1* genomic DNA was amplified in colon cancer cell lines and in human colon tumors and its RNA overexpressed (2- to >30-fold) in 84% of the tumors examined compared with patient-matched normal mucosa. *WISP-1* mapped to chromosome 6q22-6q23 and also was overexpressed (4- to >40-fold) in 63% of the colon tumors analyzed. In contrast, *WISP-2* mapped to human chromosome 20q12-20q13 and its DNA was amplified, but RNA expression was reduced (2- to >30-fold) in 79% of the tumors. These results suggest that the *WISP* genes may be downstream of Wnt-1 signaling and that aberrant levels of *WISP* expression in colon cancer may play a role in colon tumorigenesis.

Wnt-1 is a member of an expanding family of cysteine-rich, glycosylated signaling proteins that mediate diverse developmental processes such as the control of cell proliferation, adhesion, cell polarity, and the establishment of cell fate (1, 2). Wnt-1 originally was identified as an oncogene activated by the insertion of mouse mammary tumor virus in virus-induced mammary adenocarcinomas (3, 4). Although Wnt-1 is not expressed in the normal mammary gland, expression of Wnt-1 in transgenic mice causes mammary tumors (5).

In mammalian cells, Wnt family members initiate signaling by binding to the seven-transmembrane spanning Frizzled receptors and recruiting the cytoplasmic protein Dishevelled (Dsh) to the cell membrane (1, 2, 6). Dsh then inhibits the kinase activity of the normally constitutively active glycogen synthase kinase-3 $\beta$  (GSK-3 $\beta$ ) resulting in an increase in  $\beta$ -catenin levels. Stabilized  $\beta$ -catenin interacts with the transcription factor TCF/Lef1, forming a complex that appears in

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the nucleus and binds TCF/Lef1 target DNA elements to activate transcription (7, 8). Other experiments suggest that the adenomatous polyposis coli (APC) tumor suppressor gene also plays an important role in Wnt signaling by regulating  $\beta$ -catenin levels (9). APC is phosphorylated by GSK-3 $\beta$ , binds to  $\beta$ -catenin, and facilitates its degradation. Mutations in either APC or  $\beta$ -catenin have been associated with colon carcinomas and melanomas, suggesting these mutations contribute to the development of these types of cancer, implicating the Wnt pathway in tumorigenesis (1).

Although much has been learned about the Wnt signaling pathway over the past several years, only a few of the transcriptionally activated downstream components activated by Wnt have been characterized. Those that have been described cannot account for all of the diverse functions attributed to Wnt signaling. Among the candidate Wnt target genes are those encoding the nodal-related 3 gene, *Xnr3*, a member of the transforming growth factor (TGF)- $\beta$  superfamily, and the homeobox genes, *engrailed*, *goosecoid*, *runx* (*Xrun*), and *siamese* (2). A recent report also identifies *c-myc* as a target gene of the Wnt signaling pathway (10).

To identify additional downstream genes in the Wnt signaling pathway that are relevant to the transformed cell phenotype, we used a PCR-based cDNA subtraction strategy, suppression subtractive hybridization (SSH) (11), using RNA isolated from C17MO mouse mammary epithelial cells and C57MG cells stably transformed by a Wnt-1 retrovirus. Overexpression of Wnt-1 in this cell line is sufficient to induce a partially transformed phenotype, characterized by elongated and refractile cells that lose contact inhibition and form a multilayered array (12, 13). We reasoned that genes differentially expressed between these two cell lines might contribute to the transformed phenotype.

In this paper, we describe the cloning and characterization of two genes up-regulated in Wnt-1 transformed cells, *WISP-1* and *WISP-2*, and a third related gene, *WISP-3*. The *WISP* genes are members of the CCN family of growth factors, which includes connective tissue growth factor (CTGF), Cyr61, and nov, a family not previously linked to Wnt signaling.

### MATERIALS AND METHODS

SSH. SSH was performed by using the PCR-Select cDNA Subtraction Kit (CLONTECH). Tether double-stranded

Abbreviations: TGF, transforming growth factor; CTGF, connective tissue growth factor; SSH, suppression subtractive hybridization; VWC, von Willebrand factor type C module.

Data deposition: The sequences reported in this paper have been deposited in the Genbank database (accession nos. AF100778, AF100779, AF100780, and AF100781).

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cDNA was synthesized from 2  $\mu$ g of poly(A)<sup>+</sup> RNA isolated from the CS7MG/Wnt-1 cell line and driver cDNA from 2  $\mu$ g of poly(A)<sup>+</sup> RNA from the parent CS7MG cells. The subtracted cDNA library was subcloned into a pGEM-T vector for further analysis.

**cDNA Library Screening.** Clones encoding full-length mouse *WISP-1* were isolated by screening a  $\lambda$ gt10 mouse embryo cDNA library (CLONTECH) with a 711-bp probe from the original partial clone 568 sequence corresponding to amino acids 128–169. Clones encoding full-length human *WISP-1* were isolated by screening  $\lambda$ gt10 lung and fetal kidney cDNA libraries with the same probe at low stringency. Clones encoding full-length mouse and human *WISP-2* were isolated by screening a CS7MG/Wnt-1 or human fetal lung cDNA library with a probe corresponding to nucleotides 1463–1512. Full-length cDNAs encoding *WISP-3* were cloned from human bone marrow and fetal kidney libraries.

**Expression of Human *WISP* RNA.** PCR amplification of first-strand cDNA was performed with human Multiple Tissue cDNA panels (CLONTECH) and 300  $\mu$ M of each dNTP at 94°C for 1 sec, 62°C for 30 sec, 72°C for 1 min, for 22–32 cycles. *WISP* and glyceraldehyde-3-phosphate dehydrogenase primers sequences are available on request.

**In Situ Hybridization.**  $^{32}$ P-labeled sense and antisense riboprobes were transcribed from an 897-bp PCR product corresponding to nucleotides 601–1440 of mouse *WISP-1* or a 294-bp PCR product corresponding to nucleotides 87–375 of mouse *WISP-2*. All tissues were processed as described (40).

**Radiation Hybrid Mapping.** Genomic DNA from each hybrid in the Stanford G3 and Genebridge4 Radiation Hybrid Panels (Research Genetics, Huntsville, AL) and human and hamster control DNAs were PCR-amplified, and the results were submitted to the Stanford or Massachusetts Institute of Technology web servers.

**Cell Lines, Tumors, and Mucosa Specimens.** Tissue specimens were obtained from the Department of Pathology (University of Pittsburgh) for patients undergoing colon resection and from the University of Leicester, United Kingdom. Genomic DNA was isolated (Qiagen) from the peripheral blood of 10 normal human donors, surgical specimens, and the following ATCC human cell lines: SW480, COLO 320DM, HT-29, WiDr, and SW403 (colon adenocarcinomas), SW620 (lymph node metastasis, colon adenocarcinoma), HCT 116 (colon carcinoma), SK-CO-1 (colon adenocarcinoma, ascites), and HM7 (a variant of ATCC colon adenocarcinoma cell line LS 174T). DNA concentration was determined by using Hoechst dye 33258 intercalation fluorimetry. Total RNA was prepared by homogenization in 7 M GuSCN followed by centrifugation over CsCl cushions or prepared by using RNeasy.

**Gene Amplification and RNA Expression Analysis.** Relative gene amplification and RNA expression of *WISP*s and *c-myc* in the cell lines, colorectal tumors, and normal mucosa were determined by quantitative PCR. Gene-specific primers and fluorogenic probes (sequences available on request) were designed and used to amplify and quantitate the genes. The relative gene copy number was derived by using the formula  $2^{\Delta\Delta C_t}$  where  $\Delta C_t$  represents the difference in amplification cycles required to detect the *WISP* genes in peripheral blood lymphocyte DNA compared with colon tumor DNA or colon tumor RNA compared with normal mucosal RNA. The  $\delta$ -method was used for calculation of the SE of the gene copy number or RNA expression level. The *WISP*-specific signal was normalized to that of the glyceraldehyde-3-phosphate dehydrogenase housekeeping gene. All TaqMan assay reagents were obtained from Perkin-Elmer Applied Biosystems.

## RESULTS

**Isolation of *WISP-1* and *WISP-2* by SSH.** To identify Wnt-1-inducible genes, we used the technique of SSH using the

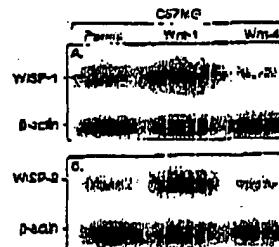
mouse mammary epithelial cell line CS7MG and CS7MG cells that stably express Wnt-1 (11). Candidate differentially expressed cDNAs (1,384 total) were sequenced. Thirty-nine percent of the sequences matched known genes or homologues, 32% matched expressed sequence tags, and 29% had no match. To confirm that the transcript was differentially expressed, semiquantitative reverse transcription-PCR and Northern analysis were performed by using mRNA from the CS7MG and CS7MG/Wnt-1 cells.

Two of the cDNAs, *WISP-1* and *WISP-2*, were differentially expressed, being induced in the CS7MG/Wnt-1 cell line, but not in the parent CS7MG cells or CS7MG cells overexpressing Wnt-4 (Fig. 1A and B). Wnt-4, unlike Wnt-1, does not induce the morphological transformation of CS7MG cells and has no effect on  $\beta$ -catenin levels (13, 14). Expression of *WISP-1* was up-regulated approximately 3-fold in the CS7MG/Wnt-1 cell line and *WISP-2* by approximately 1-fold by both Northern analysis and reverse transcription-PCR.

An independent, but similar, system was used to examine *WISP* expression after Wnt-1 induction. CS7MG cells expressing the *Wnt-1* gene under the control of a tetracycline-repressible promoter produce low amounts of Wnt-1 mRNA and protein within 24 hr after tetracycline removal (8). The levels of Wnt-1 and *WISP* RNA isolated from these cells at various times after tetracycline removal were assessed by quantitative PCR. Strong induction of Wnt-1 mRNA was seen as early as 10 hr after tetracycline removal. Induction of *WISP* mRNA (2- to 6-fold) was seen at 48 and 72 hr (data not shown). These data support our previous observations that show that *WISP* induction is correlated with Wnt-1 expression. Because the induction is slow, occurring after approximately 48 hr, the induction of *WISP*s may be an indirect response to Wnt-1 signaling.

cDNA clones of human *WISP-1* were isolated and the sequence compared with mouse *WISP-1*. The cDNA sequences of mouse and human *WISP-1* were 1,766 and 2,830 bp in length, respectively, and encode proteins of 367 aa, with predicted relative molecular masses of  $\sim$ 40,000 (M, 40 K). Both have hydrophobic N-terminal signal sequences, 38 conserved cysteine residues, and four potential N-linked glycosylation sites and are 84% identical (Fig. 2A).

Full-length cDNA clones of mouse and human *WISP-2* were 1,734 and 1,293 bp in length, respectively, and encode proteins of 251 and 230 aa, respectively, with predicted relative molecular masses of  $\sim$ 77,000 (M, 27 K) (Fig. 2B). Mouse and human *WISP-2* are 73% identical. Human *WISP-2* has no potential N-linked glycosylation sites, and mouse *WISP-2* has one at



**Fig. 1.** *WISP-1* and *WISP-2* are induced by Wnt-1, but not Wnt-4, expression in CS7MG cells. Northern analysis of *WISP-1* (A) and *WISP-2* (B) expression in CS7MG, CS7MG/Wnt-1, and CS7MG/Wnt-4 cells. Poly(A)<sup>+</sup> RNA (2  $\mu$ g) was subjected to Northern blot analysis and hybridized with a 70-bp mouse *WISP-1*-specific probe (amino acids 273–300) or a 100-bp *WISP-1*-specific probe (nucleotides 1438–1627) in the 5' untranslated region. Blots were rehybridized with human  $\beta$ -actin probe.

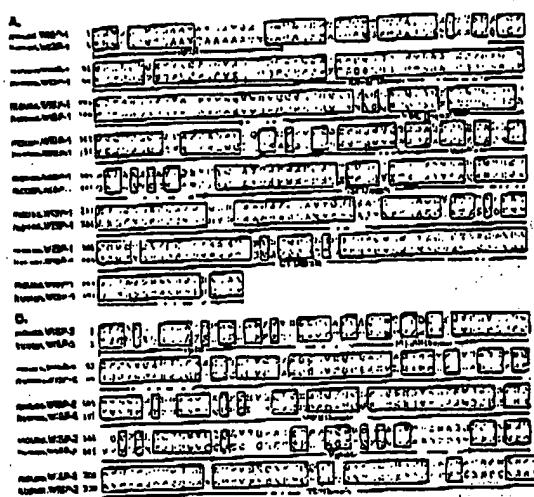


FIG. 2. Encoded amino acid sequence alignment of mouse and human WISP-1 (A) and mouse and human WISP-2 (B). The potential signal sequence, insulin-like growth factor-binding protein (IGF-BP), VWC, thrombospondin (TSP), and C-terminal (CT) domains are underlined.

position 197. WISP-2 has 28 cysteine residues that are conserved among the 38 cysteines found in WISP-1.

**Identification of WISP-3.** To search for related proteins, we screened expressed sequence tag (EST) databases with the WISP-1 protein sequence and identified several ESTs as potentially related sequences. We identified a homologous protein that we have called WISP-3. A full-length human WISP-3 cDNA of 1,371 bp was isolated corresponding to those ESTs that encode a 334-aa protein with a predicted molecular mass of 39,293. WISP-3 has two potential N-linked glycosylation sites and 36 cysteine residues. An alignment of the three human WISP proteins shows that WISP-1 and WISP-3 are the most similar (42% identity), whereas WISP-2 has 37% identity with WISP-1, and 32% identity with WISP-3 (Fig. 3A).

**WISPs Are Homologous to the CTCF Family of Proteins.** Human WISP-1, WISP-2, and WISP-3 are novel sequences; however, mouse WISP-1 is the same as the recently identified *Elm* gene. *Elm* is expressed in low, but not high, metastatic mouse melanoma cells, and suppresses the *in vivo* growth and metastatic potential of K-1735 mouse melanoma cells (15). Human and mouse WISP-2 are homologous to the recently described rat gene, *rCop-1* (16). Significant homology (36–44%) was seen to the CCN family of growth factors. This family includes three members, CTCF, Cyr61, and the protooncogene *nov*. CTCF is a chemotactic and mitogenic factor for fibroblasts that is implicated in wound healing and fibrotic disorders and is induced by TGF- $\beta$  (17). Cyr61 is an extracellular matrix signaling molecule that promotes cell adhesion, proliferation, migration, angiogenesis, and tumor growth (18, 19). *nov* (nephroblastoma overexpressed) is an immediate early gene associated with quiescence and found altered in Wilms tumors (20). The proteins of the CCN family share functional, but not sequence, similarity to WISPs. All are secreted, cysteine-rich heparin binding glycoproteins that associate with the cell surface and extracellular matrix.

WISP proteins exhibit the modular architecture of the CCN family, characterized by four conserved cysteine-rich domains (Fig. 3B) (21). The N-terminal domain, which includes the first 12 cysteine residues, contains a consensus sequence (GCGC-CXXC) conserved in most insulin-like growth factor (IGF)-

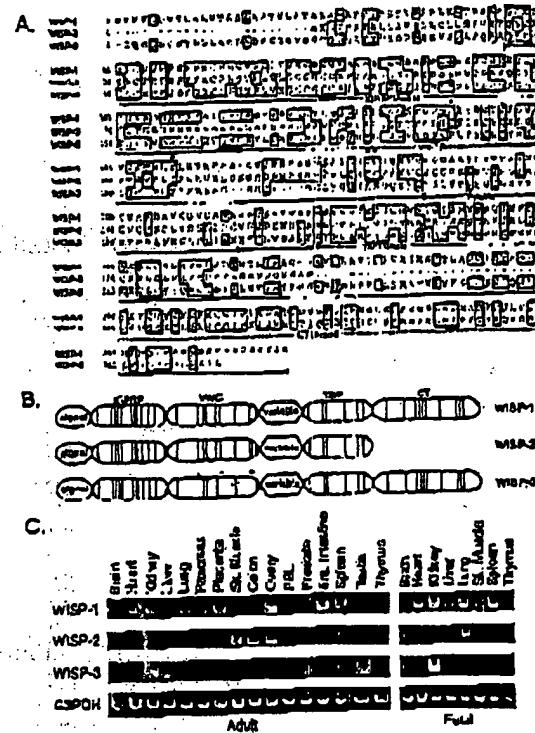


FIG. 3. (A) Encoded amino acid sequence alignment of human WISPs. The cysteine residues of WISP-1 and WISP-2 that are not present in WISP-3 are indicated with a dot. (B) Schematic representation of the WISP proteins showing the domain structure and cysteine residues (vertical lines). The four cysteine residues in the VWC domain that are absent in WISP-3 are indicated with a dot. (C) Expression of WISP mRNA in human tissues. PCR was performed on human multiple-tissue cDNA panels (CLONTECH) from the indicated adult and fetal tissues.

binding proteins (BP). This sequence is conserved in WISP-2 and WISP-3, whereas WISP-1 has a glutamine in the third position instead of a glycine. CTCF recently has been shown to specifically bind IGF (22) and a truncated *nov* protein lacking the TGF-BP domain is oncogenic (23). The von Willebrand factor type C module (VWC), also found in certain collagens and mucins, covers the next 10 cysteine residues, and is thought to participate in protein complex formation and oligomerization (24). The VWC domain of WISP-3 differs from all CCN family members described previously, in that it contains only six of the 10 cysteine residues (Fig. 3A and B). A short variable region follows the VWC domain. The third module, the thrombospondin (TSP) domain is involved in binding to sulfated glycoconjugates and contains six cysteine residues and a conserved WxxCxoxCG motif first identified in thrombospondin (25). The C-terminal (CT) module containing the remaining 10 cysteines is thought to be involved in dimerization and receptor binding (26). The CT domain is present in all CCN family members described to date but is absent in WISP-2 (Fig. 3A and B). The existence of a putative signal sequence and the absence of a transmembrane domain suggest that WISPs are secreted proteins, an observation supported by an analysis of their expression and secretion from mammalian cell and baculovirus cultures (data not shown).

**Expression of WISP mRNA in Human Tissues.** Tissue-specific expression of human WISPs was characterized by PCR

analysis on adult and fetal multiple tissue cDNA panels. *WISP-1* expression was seen in the adult heart, kidney, lung, pancreas, placenta, ovary, small intestine, and spleen (Fig. 3C). Little or no expression was detected in the brain, liver, skeletal muscle, colon, peripheral blood leukocytes, prostate, testis, or thymus. *WISP-2* had a more restricted tissue expression and was detected in adult skeletal muscle, colon, ovary, and fetal lung. Predominant expression of *WISP-3* was seen in adult kidney and testis and fetal kidney. Lower levels of *WISP-3* expression were detected in placenta, ovary, prostate, and small intestine.

*In Situ* Localization of *WISP-1* and *WISP-2*. Expression of *WISP-1* and *WISP-2* was assessed by *in situ* hybridization in mammary tumors from *Wnt-1* transgenic mice. Strong expression of *WISP-1* was observed in stromal fibroblasts lying within the fibrovascular tumor stroma (Fig. 4A–D). However, low-level *WISP-1* expression also was observed focally within tumor cells (data not shown). No expression was observed in normal breast. Like *WISP-1*, *WISP-2* expression also was seen in the tumor stroma in breast tumors from *Wnt-1* transgenic animals (Fig. 4E–H). However, *WISP-2* expression in the stroma was in spindle-shaped cells adjacent to capillary vessels, whereas

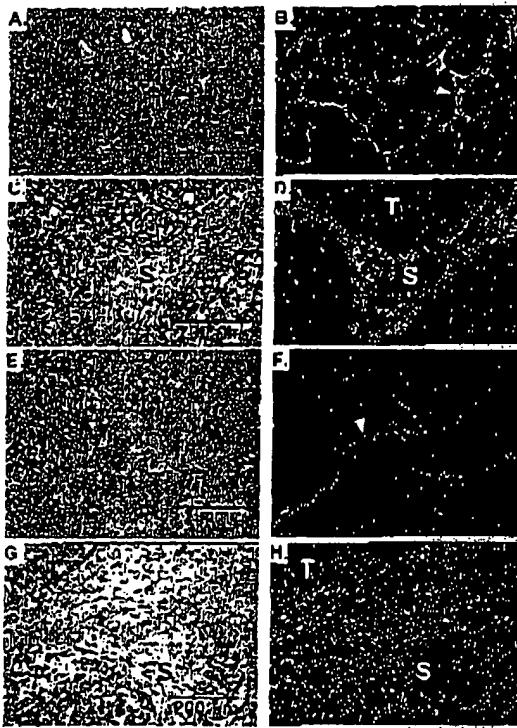


FIG. 4. (A, C, E, and G) Representative hematoxylin/eosin-stained images from breast tumors in *Wnt-1* transgenic mice. The corresponding dark-field images showing *WISP-1* expression are shown in B and D. The tumor is a moderately well-differentiated adenocarcinoma showing evidence of adenoid cystic change. At low power (A and B), expression of *WISP-1* is seen in the delicate branching fibrovascular tumor stroma (arrowhead). At higher magnification, expression is seen in the stromal(s) fibroblasts (C and D), and tumor cells are negative. Focal expression of *WISP-1*, however, was observed in tumor cells in some areas. Images of *WISP-2* expression are shown in E–H. At low power (E and F), expression of *WISP-2* is seen in cells lying within the fibrovascular tumor stroma. At higher magnification, these cells appeared to be adjacent to capillary vessels whereas tumor cells are negative (G and H).

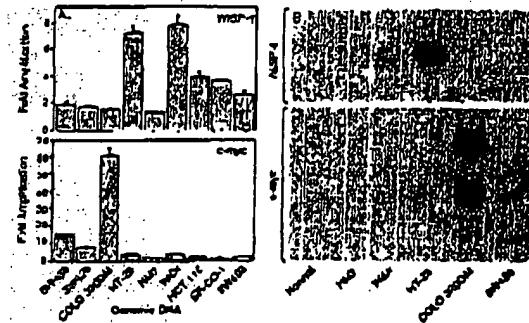
the predominant cell type expressing *WISP-1* was the stromal fibroblasts.

**Chromosome Localization of the *WISP* Genes.** The chromosomal location of the human *WISP* genes was determined by radiation hybrid mapping panels. *WISP-1* is approximately 3.41 cR from the meiotic marker AFM259xc5 (logarithm of odds (lod) score 16.31) on chromosome 8q24.1 to 8q24.3, in the same region as the human locus of the *novH* family member (27) and roughly 4 Mbs distal to *c-myc* (28). Preliminary fine mapping indicates that *WISP-1* is located near D8S1712 STS. *WISP-2* is linked to the marker SHGC-33922 (lod = 1,000) on chromosome 20q12–20q13.1. Human *WISP-3* mapped to chromosome 6q22–6q23 and is linked to the marker AFM211ze5 (lod = 1,000). *WISP-3* is approximately 18 Mbs proximal to *CTGF* and 23 Mbs proximal to the human cellular oncogene *MYB* (27, 29).

**Amplification and Aberrant Expression of *WISP*s in Human Colon Tumors.** Amplification of protooncogenes is seen in many human tumors and has etiological and prognostic significance. For example, in a variety of tumor types, *c-myc* amplification has been associated with malignant progression and poor prognosis (30). Because *WISP-1* resides in the same general chromosomal location (8q24) as *c-myc*, we asked whether it was a target of gene amplification, and, if so, whether this amplification was independent of the *c-myc* locus. Genomic DNA from human colon cancer cell lines was assessed by quantitative PCR and Southern blot analysis (Fig. 5A and B). Both methods detected similar degrees of *WISP-1* amplification. Most cell lines showed significant (2- to 4-fold) amplification, with the HT-29 and WiDr cell lines demonstrating an 8-fold increase. Significantly, the pattern of amplification observed did not correlate with that observed for *c-myc*, indicating that the *c-myc* gene is not part of the amplicon that involves the *WISP-1* locus.

We next examined whether the *WISP* genes were amplified in a panel of 25 primary human colon adenocarcinomas. The relative *WISP* gene copy number in each colon tumor DNA was compared with pooled normal DNA from 10 donors by quantitative PCR (Fig. 6). The copy number of *WISP-1* and *WISP-2* was significantly greater than one, approximately 2-fold for *WISP-1* in about 60% of the tumors and 1- to 4-fold for *WISP-2* in 92% of the tumors ( $P < 0.001$  for each). The copy number for *WISP-3* was indistinguishable from one ( $P = 0.16$ ). In addition, the copy number of *WISP-1* was significantly higher than that of *WISP-2* ( $P < 0.001$ ).

The levels of *WISP* transcripts in RNA isolated from 19 adenocarcinomas and their matched normal mucosa were



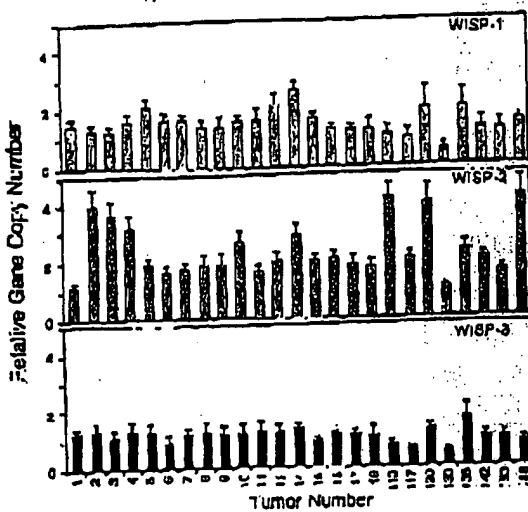


FIG. 6. Genomic amplification of *WISP* genes in human colon adenocarcinomas. The relative gene copy number of the *WISP* genes in 29 adenocarcinomas was assayed by quantitative PCR, by comparing DNA from primary human tumors with pooled DNA from 10 healthy donors. The data are means  $\pm$  SEM from one experiment done in triplicate. The experiment was repeated at least three times.

assessed by quantitative PCR (Fig. 7). The level of *WISP-1* RNA present in tumor tissue varied but was significantly increased ( $1$  to  $>25$ -fold) in 44% (16/19) of the human colon tumors examined compared with normal adjacent mucosa. Four of 19 tumors showed greater than 10-fold overexpression. In contrast, in 79% (15/19) of the tumors examined, *WISP-2* RNA expression was significantly lower in the tumor than the mucosa. Similar to *WISP-1*, *WISP-3* RNA was overexpressed in 63% (12/19) of the colon tumors compared with the normal

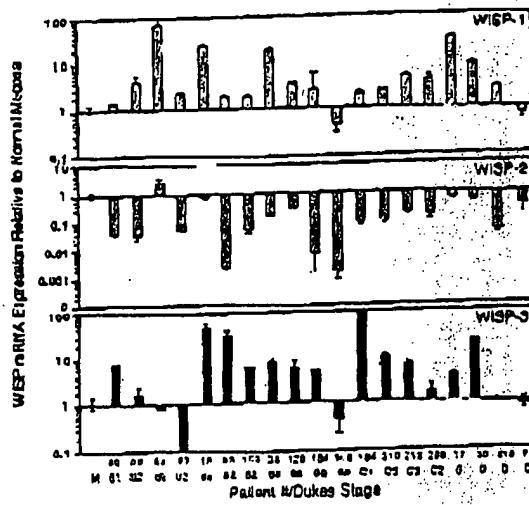


FIG. 7. *WISP* RNA expression in primary human colon tumors relative to expression in normal mucosa from the same patient. Expression of *WISP* mRNA in 19 adenocarcinomas was assayed by quantitative PCR. The Dukes stage of the tumor is listed under the sample number. The data are means  $\pm$  SEM from one experiment done in triplicate. The experiment was repeated at least twice.

mucosa. The amount of overexpression of *WISP-3* ranged from 4- to  $>40$ -fold.

## DISCUSSION

One approach to understanding the molecular basis of cancer is to identify differences in gene expression between cancer cells and normal cells. Strategies based on assumptions that steady-state mRNA levels will differ between normal and malignant cells have been used to clone differentially expressed genes (31). We have used a PCR-based selection strategy, SSM, to identify genes selectively expressed in CS7MG mouse mammary epithelial cells transformed by *Wnt-1*.

Three of the genes isolated, *WISP-1*, *WISP-2*, and *WISP-3*, are members of the CCN family of growth factors, which includes CTGF, Cyr61, and nov, a family not previously linked to *Wnt* signaling.

Two independent experimental systems demonstrated that *WISP* induction was associated with the expression of *Wnt-1*. The first was CS7MG cells infected with a *Wnt-1* retroviral vector or CS7MG cells expressing *Wnt-1* under the control of a tetracycline-repressible promoter, and the second was in *Wnt-1* transgenic mice, where breast tissue expresses *Wnt-1*, whereas normal breast tissue does not. No *WISP* RNA expression was detected in mammary tumors induced by polyoma virus middle T antigen (data not shown). These data suggest a link between *Wnt-1* and *WISPs* in that in these two situations, *WISP* induction was correlated with *Wnt-1* expression.

It is not clear whether the *WISPs* are directly or indirectly induced by the downstream components of the *Wnt-1* signaling pathway (i.e.,  $\beta$ -catenin-TCF-1/Lef1). The increased levels of *WISP* RNA were measured in *Wnt-1*-transformed cells, hours or days after *Wnt-1* transformation. Thus, *WISP* expression could result from *Wnt-1* signaling directly through  $\beta$ -catenin transcription factor regulation or alternatively through *Wnt-1* signaling turning on a transcription factor, which in turn regulates *WISPs*.

The *WISPs* define an additional subfamily of the CCN family of growth factors. One striking difference observed in the protein sequence of *WISP-2* is the absence of a CT domain, which is present in CTGF, Cyr61, nov, *WISP-1*, and *WISP-3*. This domain is thought to be involved in receptor binding and dimerization. Growth factors, such as TGF- $\beta$ , platelet-derived growth factor, and nerve growth factor, which contain a cysteine knot motif exist as dimers (32). It is tempting to speculate that *WISP-1* and *WISP-3* may exist as dimers, whereas *WISP-2* exists as a monomer. If the CT domain is also important for receptor binding, *WISP-2* may bind its receptor through a different region of the molecule than the other CCN family members. No specific receptors have been identified for CTGF or nov. A recent report has shown that integrin  $\alpha\beta_3$  serves as an adhesion receptor for Cyr61 (33).

The strong expression of *WISP-1* and *WISP-2* in cells lying within the fibrovascular tumor stroma in breast tumors from *Wnt-1* transgenic animals is consistent with previous observations that transcripts for the related CTGF gene are primarily expressed in the fibrous stroma of mammary tumors (34). Epithelial cells are thought to control the proliferation of connective tissue stroma in mammary tumors by a cascade of growth factor signals similar to that controlling connective tissue formation during wound repair. It has been proposed that mammary tumor cells or inflammatory cells at the tumor interstitial interface secrete TGF- $\beta$ 1, which is the stimulus for stromal proliferation (34). TGF- $\beta$ 1 is secreted by a large percentage of malignant breast tumors and may be one of the growth factors that stimulates the production of CTGF and *WISPs* in the stroma.

It was of interest that *WISP-1* and *WISP-2* expression was observed in the stromal cells that surrounded the tumor cells

(epithelial cells) in the *Wnt-1* transgenic mouse sections of breast tissue. This finding suggests that paracrine signaling could occur in which the stromal cells could supply *WISP-1* and *WISP-2* to regulate tumor cell growth on the *WISP* extracellular matrix. Stromal cell-derived factors in the extracellular matrix have been postulated to play a role in tumor cell migration and proliferation (35). The localization of *WISP-1* and *WISP-2* in the stromal cells of breast tumors supports this paracrine model.

An analysis of *WISP-1* gene amplification and expression in human colon tumors showed a correlation between DNA amplification and overexpression, whereas overexpression of *WISP-2* RNA was seen in the absence of DNA amplification. In contrast, *WISP-2* DNA was amplified in the colon tumors, but its mRNA expression was significantly reduced in the majority of tumors compared with the expression in normal colonic mucosa from the same patient. The gene for human *WISP-2* was localized to chromosome 20q12-20q13, at a region frequently amplified and associated with poor prognosis in node negative breast cancer and many colon cancers, suggesting the existence of one or more oncogenes at this locus (36-38). Because the center of the 20q13 amplicon has not yet been identified, it is possible that the apparent amplification observed for *WISP-2* may be caused by another gene in this amplicon.

A recent manuscript on *Cop-1*, the rat orthologue of *WISP-2*, describes the loss of expression of this gene after cell transformation, suggesting it may be a negative regulator of growth in cell lines (16). Although the mechanism by which *WISP-2* RNA expression is down-regulated during malignant transformation is unknown, the reduced expression of *WISP-2* in colon tumors and cell lines suggests that it may function as a tumor suppressor. These results show that the *WISP* genes are aberrantly expressed in colon cancer and suggest that their altered expression may confer selective growth advantage to the tumor.

Members of the *Wnt* signaling pathway have been implicated in the pathogenesis of colon cancer, breast cancer, and melanoma, including the tumor suppressor gene adenomatous polyposis coli and  $\beta$ -catenin (39). Mutations in specific regions of either gene can cause the stabilization and accumulation of cytoplasmic  $\beta$ -catenin, which presumably contributes to human carcinogenesis through the activation of target genes such as the *WISPs*. Although the mechanism by which *Wnt-1* transforms cells and induces tumorigenicity is unknown, the identification of *WISPs* as genes that may be regulated downstream of *Wnt-1* in C57MG cells suggests they could be important mediators of *Wnt-1* transformation. The amplification and altered expression patterns of the *WISPs* in human colon tumors may indicate an important role for these genes in tumor development.

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## Variable expression of the translocated *c-abl* oncogene in Philadelphia-chromosome-positive B-lymphoid cell lines from chronic myelogenous leukemia patients

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**ABSTRACT** The consistent cytogenetic translocation of chronic myelogenous leukemia (the Philadelphia chromosome,  $\text{Ph}^1$ ) has been observed in cells of multiple hematopoietic lineages. This translocation creates a chimeric gene composed of breakpoint-cluster-region (*bcr*) sequences from chromosome 22 fused to a portion of the *abl* oncogene on chromosome 9. The resulting gene product (P210<sup>c-abl</sup>) resembles the transforming protein of the Abelson murine leukemia virus in its structure and tyrosine kinase activity. P210<sup>c-abl</sup> is expressed in  $\text{Ph}^1$ -positive cell lines of myeloid lineage and in clinical specimens with myeloid predominance. We show here that Epstein-Barr virus-transformed B-lymphocyte lines that retain  $\text{Ph}^1$  can express P210<sup>c-abl</sup>. The level of expression in these B-cell lines is generally lower and more variable than that observed for myeloid lines. Protein expression is not related to amplification of the *abl* gene but to variation in the level of *bcr-abl* mRNA produced from a single  $\text{Ph}^1$  template.

Chronic myelogenous leukemia (CML) is a disease of the pluripotent stem cell (1). In greater than 95% of patients, the leukemic cells contain the cytogenetic marker known as the Philadelphia chromosome, or  $\text{Ph}^1$  (2). This reciprocal translocation event between the long arms of chromosomes 9 and 22 has been used as a disease-specific marker for diagnosis and evaluation of therapy. Multiple hematopoietic lineages, including myeloid and B-lymphoid, contain  $\text{Ph}^1$  in early or chronic phase, as well as in the more acute accelerated and blast crisis phases of the disease.

One molecular consequence of  $\text{Ph}^1$  is the translocation of the chromosomal arm containing the *c-abl* gene on chromosome 9 into the middle of the breakpoint-cluster region (*bcr*) gene on chromosome 22 (3-6). Although the precise translocation breakpoints are variable, an RNA-splicing mechanism generates a very similar 8-kilobase (kb) mRNA in each case (5-9). The hybrid *bcr-abl* message encodes a structurally altered form of the *abl* oncogene product, called P210<sup>c-abl</sup> (10-13), with an amino-terminal segment derived from a portion of the exons of *bcr* on chromosome 22 and a carboxyl-terminal segment derived from a major portion of the exons of the *c-abl* gene on chromosome 9. The chimeric structure of *bcr-abl* and the resulting P210<sup>c-abl</sup> is similar to the structure of the Abelson murine leukemia virus *gag-abl* genome and resulting P160<sup>c-abl</sup> transforming gene product. Both proteins have very similar tyrosine kinase activities (10, 11, 14) which can be distinguished by their relative stability to denaturing detergents and by their ATP requirements from the recently described tyrosine kinase activity of the *c-abl* gene product (15).

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In concert with structural modification of the amino-terminal portion of the *abl* gene, increased level of expression has been implicated in activation of *c-abl* oncogenic potential. Myeloid and erythroid cell lines and clinical samples derived from acute-phase CML patients contain about 10-fold higher levels of the 8-kb *bcr-abl* mRNA and P210<sup>c-abl</sup> than the *c-abl* mRNA forms (6 and 7 kb) and P145<sup>c-abl</sup> gene product (5, 8, 9, 11). The higher level of expression of the chimeric *bcr-abl* message in acute-phase cells is not likely to be solely due to the presence of the *bcr* promoter sequences at the 5' end of the gene, since the normal 4.5-kb and 6.7-kb *bcr*-encoded mRNA species are expressed at an even lower level than the normal *c-abl* messages (5, 6).

We have analyzed a series of Epstein-Barr virus-immortalized B-lymphoid cell lines derived from CML patients (16). With such *in vitro* clonal cell lines, we can evaluate whether the presence of  $\text{Ph}^1$  always results in synthesis of the chimeric *bcr-abl* message and protein, and whether the quantitative expression varies for cells of B-lymphoid lineage as compared to previously examined myeloid cell lines. Our results show that cell lines that retain  $\text{Ph}^1$  do express *bcr-abl* message and protein, but that the level is generally lower and more variable than previously seen for myeloid cell lines. The demonstration that the  $\text{Ph}^1$  chromosomal template can vary in its level of expression of P210<sup>c-abl</sup> suggests that secondary mechanisms, beyond the translocation itself, contribute to the regulation of the *bcr-abl* gene in different cell types or subclones that derive from the affected stem cell.

### MATERIALS AND METHODS

**Cells and Cell Labelings.** Epstein-Barr virus-transformed B-lymphoid cell lines were established from peripheral blood samples of chronic- and acute-phase CML patients as reported (16). The cell lines are designated according to patient number, karyotype, and lineage. For example, SK-CML7B(9,22)-33 refers to CML patient 7, B-lymphoid cell line, 9;22 translocation ( $\text{Ph}^1$ ), cell line 33; and SK-CML7BN-2 refers to B-cell line 2 with a normal karyotype derived from the same patient. Repeat karyotype analysis was performed to verify the retention of  $\text{Ph}^1$  just prior to analysis for *abl* protein and RNA. Cells were maintained in RPMI 1640 medium with 20% fetal bovine serum. We have not observed any consistent pattern of *in vitro* growth rate that correlates to the stage of disease at the time of transformation with Epstein-Barr virus. Cells ( $1.5 \times 10^7$ ) were washed twice with Dulbecco's modified Eagle's medium lacking phosphate and

Abbreviations: *bcr*, breakpoint-cluster region; CML, chronic myelogenous leukemia; kb, kilobase(s).

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supplemented with 5% dialyzed fetal bovine serum. Cells were then resuspended in 2 ml of the minimal medium. Labeling was started with the addition of [<sup>32</sup>P]orthophosphate (1 mCi/ml; ICN; 1 Ci = 37 GBq) and continued at 37°C for 3–4 hr.

**Immunoprecipitation and Immunoblotting.** Immunoprecipitations were carried out as described (10). Cells ( $1.5 \times 10^7$ ) were washed with phosphate-buffered saline and extracted with 3–5 ml of phosphate lysis buffer (1% Triton X-100/0.1 NaDODSO<sub>4</sub>/0.5% deoxycholate/10 mM Na<sub>2</sub>HPO<sub>4</sub>, pH 7.5/100 mM NaCl) with 5 mM EDTA and 5 mM phenylmethylsulfonyl fluoride. Extracts were clarified by centrifugation and precipitated with normal or rabbit anti-*abl* sera (anti-pEX-2 or anti-pEX-5) (17). The precipitated proteins were electrophoresed in a NaDODSO<sub>4</sub>/8% polyacrylamide gel. <sup>32</sup>P-labeled proteins were detected by autoradiography. Alternatively, *abl* proteins were detected by immunoblotting. Extracts from unlabeled cells were clarified, and proteins were concentrated by immunoprecipitation with rabbit anti-sera against *abl*-encoded proteins [anti-pEX-2 and anti-pEX-5 combined (17)] and then fractionated in 8% acrylamide gels. The proteins were transferred from the gel to nitrocellulose filters, using protease-facilitated transfer (18). The *abl*-encoded proteins were detected using murine monoclonal antibodies as a probe and peroxidase-conjugated goat anti-mouse second stage antibody (Bio-Rad) for development. Rabbit antisera and mouse monoclonal antibodies to *abl* proteins were prepared using bacterially expressed regions of the v-*abl* protein as immunogens (17, 19). Anti-pEX-2 antibodies react with the internal tyrosine kinase domain and anti-pEX-5 antibodies react with the carboxyl-terminal segment of the *abl* proteins.

**RNA Analysis.** RNA was extracted from  $10^8$  cells by the NaDODSO<sub>4</sub>/urea/phenol method (20). Polyadenylated RNA was purified by oligo(dT) affinity chromatography. Samples were electrophoresed in a 1% agarose/formaldehyde gel and transferred to nitrocellulose. *abl* RNA species were detected by hybridization with a nick-translated v-*abl* fragment probe (21).

**DNA Analysis.** DNA was prepared from  $5 \times 10^7$  cells of each cell line and processed for Southern blots with a v-*abl* probe as described (21).

## RESULTS

**Variable Levels of P210<sup>c-abl</sup> Are Detected in Ph<sup>1</sup>-Positive Cell Lines.** Ph<sup>1</sup>-positive and Ph<sup>1</sup>-negative, Epstein-Barr virus-transformed B-lymphocyte cell lines derived from the same patient were examined for P210<sup>c-abl</sup> synthesis by immunoprecipitation of [<sup>32</sup>P]orthophosphate-labeled cell extracts with anti-*abl* sera (Fig. 1). The normal c-*abl* protein P145<sup>c-abl</sup> was detected at a similar level in multiple Ph<sup>1</sup>-positive and Ph<sup>1</sup>-negative cell lines. P210<sup>c-abl</sup> was only detected in the Ph<sup>1</sup>-positive cell lines because the *bcr-abl* chimeric gene which encodes P210<sup>c-abl</sup> resides on the Ph<sup>1</sup> (4, 5, 11, 13). The level of P210<sup>c-abl</sup> was about 4- to 5-fold higher than the level of P145<sup>c-abl</sup> in the SK-CML7Bt-33 cell line (Fig. 1A, +). The Ph<sup>1</sup>-positive erythroid-progenitor cell line K562 (C) showed a level of P210<sup>c-abl</sup> about 10-fold higher than P145<sup>c-abl</sup>. However, the level of P210<sup>c-abl</sup> was about one-fifth that of P145<sup>c-abl</sup> in the Ph<sup>1</sup>-positive SK-CML16Bt-1 cell line (Fig. 1B, +). Comparison of different autoradiographic exposures roughly indicated that the level of P210<sup>c-abl</sup> varies over a 20-fold range between these Ph<sup>1</sup>-positive B-cell lines. Analysis of four additional Ph<sup>1</sup>-positive B-cell lines demonstrated that the level of P210<sup>c-abl</sup> fell into two general classes; some cell lines had a level of P210<sup>c-abl</sup> similar to SK-CML7Bt-33 and others had the low level similar to SK-CML16Bt-1 (Table 1). This differs from previous studies with Ph<sup>1</sup>-positive myeloid cell lines and patient samples derived from acute-

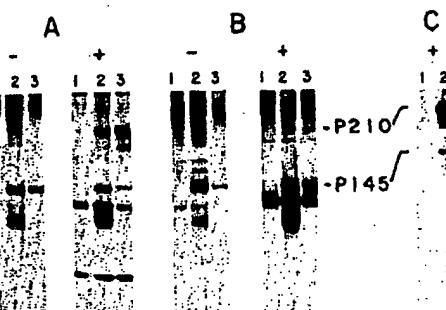


FIG. 1. Detection of variable levels of P210<sup>c-abl</sup> in Ph<sup>1</sup>-positive B-cell lines. Production of P145<sup>c-abl</sup> and P210<sup>c-abl</sup> in Epstein-Barr virus-transformed B-cell lines derived from a blast-crisis (A) and a chronic-phase (B) CML patient was examined by metabolic labeling with [<sup>32</sup>P]orthophosphate and immunoprecipitation. Ph<sup>1</sup>-negative (−) and Ph<sup>1</sup>-positive (+) cell lines derived from each patient were analyzed. The Ph<sup>1</sup>-negative cell line in A, −, is SK-CML7Bt-2 and in B, −, is SK-CML16Bt-1. The Ph<sup>1</sup>-positive cell line in A, + is SK-CML7Bt-33 and in B, + is SK-CML16Bt-1. The K562 cell line, a Ph<sup>1</sup>-positive erythroid progenitor cell line spontaneously derived from a blast-crisis patient (33), is represented in C. Cells ( $1.5 \times 10^7$ ) were metabolically labeled with 2 mCi of [<sup>32</sup>P]orthophosphate for 3–4 hr and then were extracted and clarified by centrifugation. Samples were immunoprecipitated with control normal serum (lanes 1), anti-pEX-2 (lanes 2), or anti-pEX-5 (lanes 3) and analyzed by NaDODSO<sub>4</sub>/8% PAGE followed by autoradiography with an intensifying screen (3 days for A and C, 10 days for B).

phase CML patients, in which P210<sup>c-abl</sup> was detected at a 10-fold higher level than P145<sup>c-abl</sup> (refs. 10 and 11; Table 1). There was no large difference in level of chimeric mRNA and P210<sup>c-abl</sup> expressed in four myeloid/erythroid-lineage Ph<sup>1</sup>-positive cell lines (K562, EM2, EM3, CML22, and BV173; refs. 9 and 11), despite a 4- to 5-fold amplification of *abl*-related sequences in the K562 cell line.

Detection of different levels of P210<sup>c-abl</sup> in Fig. 1 could be due to decreased phosphorylation of P210<sup>c-abl</sup>, a lower level of P210<sup>c-abl</sup> synthesis, or altered stability of the protein. To help distinguish among these possibilities, the steady-state level of P210<sup>c-abl</sup> in the cell lines was assayed by immunoblotting. The results show that SK-CML7Bt-33 (Fig. 2A, +) had a higher level of P210<sup>c-abl</sup> than P145, similar to the results with metabolic labeling (Fig. 1). We did not detect P210<sup>c-abl</sup> by immunoblotting with  $2 \times 10^7$  cells of line SK-CML8Bt-3 (Fig. 2B, +). Reconstruction experiments using dilutions of cell extracts showed that we could detect about 5–10% the level of P210<sup>c-abl</sup> expressed in the K562 cell line (data not shown). We infer that the steady-state level of P210<sup>c-abl</sup> in SK-CML8Bt-3 is lower than the level in SK-CML7Bt-33 by a factor of at least 10. The level of P210<sup>c-abl</sup> detected in these assays correlated with the amount of P210<sup>c-abl</sup> tyrosine kinase activity that could be detected *in vitro* (data not shown).

**Different Levels of P210<sup>c-abl</sup> Are Reflected in the Amount of Stable bcr-abl mRNA.** To identify the basis for detection of variable levels of P210<sup>c-abl</sup>, we examined the production of *abl* RNA. RNA blot hybridization analysis using a v-*abl* probe (Fig. 3) showed that the normal 6- and 7-kb c-*abl* mRNAs were present at a similar level in Ph<sup>1</sup>-positive and -negative cell lines derived from different patients. However, the 8-kb mRNA that encodes P210<sup>c-abl</sup> was detected at a 10-fold higher level in SK-CML7Bt-33 (Fig. 3A, +) than in SK-CML16Bt-1 (B, +), which correlated with the relative level of P210<sup>c-abl</sup> detected in each cell line. Analysis of additional cell lines demonstrated that the level of 8-kb RNA directly correlated with the level of P210<sup>c-abl</sup> (Table 1). The variation in level of 8-kb RNA detected in these cell lines was not due to loss or gain of Ph<sup>1</sup>, because cytogenetic analysis confirmed the presence of Ph<sup>1</sup> in these cell lines (ref. 16 and

Table 1. Relative levels of *bcr-abl* expression in Epstein-Barr virus-immortalized B-cell lines and myeloid CML lines

Cell line*	CML phase†	Ph <sup>1</sup> ‡	P210§	8-kb mRNA¶
SK-CML7BN-2	BC	—	—	—
SK-CML8BN-10	Chronic	—	—	—
SK-CML8BN-12	Chronic	—	—	—
SK-CML16BN-1	Chronic	—	—	—
SK-CML35BN-1	Chronic	—	—	—
SK-CML7Bt-33	BC	+	+++	+++
SK-CML21Bt-1	Acc	+	+++	+++
SK-CML21Bt-6	Acc	+	+++	+++
SK-CML8Bt-3	Chronic	+	+	±
SK-CML16Bt-1	Chronic	+	+	+
SK-CML35Bt-2	Chronic	+	+	+
K562	BC	+	+++++	+++++
BV173	BC	+	+++++	+++++
EM2	BC	+	+++++	+++++

\*Cell lines derived from CML patients by transformation with Epstein-Barr virus as described (16). Names of cell lines indicate patient number and Ph<sup>1</sup> status: SK-CML7Bt indicates a cell line derived from patient 7 that carries the 9;22 Ph<sup>1</sup> translocation; N indicates a normal karyotype. Myeloid-erythroid cell lines (K562, EM2, and BV173) are described in previous publications (9, 11, 22, 33).

†Status of patient at the time cell line was derived. BC, blast crisis; Acc, accelerated phase.

‡Presence (+) or absence (—) of Ph<sup>1</sup> as demonstrated by karyotypic or Southern blot analysis.

§P210<sup>c-abl</sup> detected as described in legend to Fig. 1. B-cell lines derived from blast-crisis and accelerated-phase patients had levels of P210 3- to 5-fold higher (++) than levels of P145. Chronic-phase-derived cell lines had P210 levels lower than or just equivalent (+) to the level of P145. Myeloid and erythroid lines had levels of P210 5- to 10-fold higher than P145 (++++).

¶Eight-kilobase *bcr-abl* mRNA detected as described in legend to Fig. 2. Symbols: ±, borderline detectable; +++, level of 8-kb mRNA 5- to 10-fold higher than that of the 6- and 7-kb *c-abl* mRNA species; ++, level of 8-kb mRNA 3- to 5-fold higher than that of the 6- and 7-kb species; +, a level approximately equivalent to that of the 6- and 7-kb messages.

data not shown). There was no difference in the copy number of *abl*-related sequences as judged by Southern blot analysis (Fig. 4). Only the K562 cell line control showed an amplification of *abl* sequences, as previously reported (22, 23). These combined data suggest that differential *bcr-abl* mRNA expression from a single gene template is responsible for the variable levels of P210<sup>c-abl</sup> detected. This could be mediated

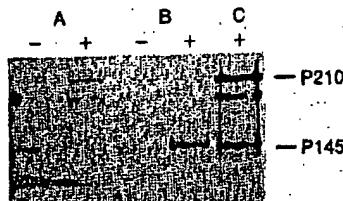


Fig. 2. Analysis of steady-state *abl* protein levels by immunoblotting. Cell extracts prepared from  $2 \times 10^7$  cells of lines SK-CML7BN-2 (A, -), SK-CML7Bt-33 (A, +), SK-CML8BN-10 (B, -), and SK-CML8Bt-3 (B, +) were concentrated by immunoprecipitation with anti-pEX-2 plus anti-pEX-5. Samples were then electrophoresed in a NaDODSO<sub>4</sub>/6% polyacrylamide gel and transferred to nitrocellulose, using protease-facilitated transfer (18). *abl* proteins were detected using a mixture of two monoclonal antibodies directed against the pEX-2 and pEX-5 *abl*-protein fragments produced in bacteria (19) as a probe and a peroxidase-conjugated goat anti-mouse second-stage antibody (Bio-Rad) for development.

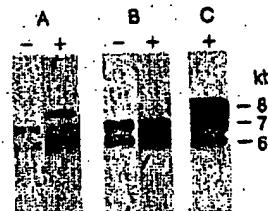


Fig. 3. Comparison of *abl* RNA levels in Ph<sup>1</sup>-positive and negative B-cell lines. The levels of the normal 6- and 7-kb *c-abl* RNAs and the 8-kb *bcr-abl* RNA were analyzed by blot hybridization using a *v-abl* probe. RNA was extracted from Ph<sup>1</sup>-negative lines SK-CML7BN-2 (A, -) and SK-CML16BN-1 (B, -), from Ph<sup>1</sup>-positive lines SK-CML7Bt-33 (A, +) and SK-CML8Bt-3 (B, +), and from line K562 (C, +) by the NaDODSO<sub>4</sub>/urea/phenol method (20). Polyadenylated RNA was purified by oligo(dT) affinity chromatography, and 15  $\mu$ g of each sample was electrophoresed in a 1% agarose/formaldehyde gel and then transferred to nitrocellulose. The blotted RNAs were hybridized with a nick-translated *v-abl* fragment probe (21) and then autoradiographed for 4 days.

by factors influencing the transcription rate of the *bcr-abl* gene or the stability of the mRNA.

## DISCUSSION

Several lines of evidence suggest that formation of Ph<sup>1</sup> is not the primary event that affects the stem cell in CML. Patients have been identified that present with the clinical picture of CML but only later develop Ph<sup>1</sup> (1). This observation, coupled with studies of G6PD (glucose-6-phosphate dehydrogenase)-heterozygous females with CML that demonstrate stem-cell clonality by isozyme analysis among cell

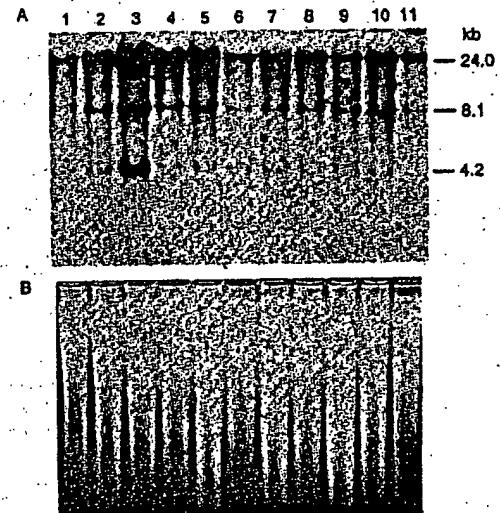


Fig. 4. Southern blot analysis of *abl* sequences in Ph<sup>1</sup>-positive and -negative B-cell lines. High molecular weight DNA (15  $\mu$ g) was digested with restriction endonuclease *Bam*HI, separated in a 0.8% agarose gel, and then transferred to nitrocellulose. The blotted DNA fragments were hybridized with a nick-translated, 2.4-kb *Bgl* II *v-abl* fragment ( $1.5 \times 10^8$  cpm/ $\mu$ g; ref. 21) and exposed for 4 days. (A) Autoradiogram of *abl*-specific fragments in cell lines HL-60 (lane 1), EM2 (lane 2), K562 (lane 3), SK-CML7Bt-33 (lane 4), SK-CML8Bt-3 (lane 5), SK-CML16Bt-1 (lane 6), SK-CML21Bt-6 (lane 7), SK-CML35Bt-2 (lane 8), SK-CML7BN-2 (lane 9), SK-CML8BN-2 (lane 10), and SK-CML35BN-1 (lane 11). (B) Ethidium bromide staining of agarose gel prior to transfer to nitrocellulose, showing the level of variation in amount of DNA loaded per lane.

populations that lack the  $\text{Ph}^1$  marker, supports a secondary or complementary role for  $\text{Ph}^1$  in the progression of the disease (24, 25). This chromosome marker is found in chronic, accelerated, and blast-crisis phases of the disease. It is likely that  $\text{Ph}^1$  confers some growth advantage, since cells with the marker chromosome eventually predominate in the marrow and peripheral blood even in chronic phase. During the phase of blast crisis, many patients develop additional chromosome abnormalities, including duplication of  $\text{Ph}^1$ , a variety of trisomies, and complex translocations (26). This is suggestive evidence for  $\text{Ph}^1$  being a necessary but not sufficient genetic change for the full evolution of the disease.

The realization that one molecular result of  $\text{Ph}^1$  is the generation of a chimeric *bcr-abl* protein with functional characteristics and structure analogous to the *gag-abl* transforming protein of the Abelson murine leukemia virus strengthens the argument for an important role of  $\text{Ph}^1$  in the pathogenesis of CML. Although the Abelson virus is generally considered a rapidly transforming retrovirus, its effects can range from overcoming growth factor requirements, to cellular lethality, to induction of highly oncogenic tumors in a number of hematopoietic cell lineages (27, 28). Even in the transformation of murine cell targets, there are several lines of evidence that suggest that the growth-promoting activity of the *v-abl* gene product is complemented by further cellular changes in the production of the malignant-cell phenotype (29-31).

The regulation of *bcr-abl* gene expression is complex because the 5' end of the gene is derived from the non-*abl* sequences, *bcr*, normally found on chromosome 22 (6). The level of stable message for the normal *bcr* gene and the normal *abl* gene are both much lower than the level of the *bcr-abl* message and protein from cell lines and clinical specimens derived from myeloid blast-crisis patients (5, 6, 11). Therefore, the high level of *bcr-abl* expression cannot simply be attributed to the regulatory sequences associated with *bcr*. Possibly, creation of the chimeric gene disrupts the normal regulatory sequences and results in a higher level of expression. Variation in *bcr-abl* expression may result from secondary changes in the structure of the chimeric gene or function of *trans*-acting factors that occur during evolution of the disease. Our analysis of  $\text{P}210^{\text{c-abl}}$  and the 8-kb mRNA in Epstein-Barr virus-transformed  $\text{Ph}^1$ -positive B-cell lines demonstrates that stable message and protein levels from the *bcr-abl* gene can vary over a wide range. This variation does not result from a change in the number of *bcr-abl* templates secondary to gene amplification but more likely from changes in either transcription rate or mRNA stability. We suspect this range of *bcr-abl* expression is not limited to lymphoid cells. Analysis of peripheral blood leukocytes derived from an unusual CML patient who has been in chronic phase with myeloid predominance for 16 years showed a level of  $\text{P}210^{\text{c-abl}}$  one-fifth that of  $\text{P}145^{\text{c-abl}}$ , as detected by metabolic labeling with  $^{32}\text{P}$ orthophosphate and immunoprecipitation (S.C., O.N.W., and P. Greenberg, unpublished observations). Lower levels of expression of the chimeric mRNA have been demonstrated in clinical samples from chronic-phase CML patients compared to acute-phase CML patients (9). Others have reported chronic-phase patients with variable but, in some cases, relatively high levels of the *bcr-abl* mRNA (32). The sampling variation and the heterogeneous mixture of cell types in clinical samples complicate such analyses. Further work is needed to evaluate whether there is a defined change in  $\text{P}210^{\text{c-abl}}$  expression during the progression of CML. It is interesting to note that among the limited sample of  $\text{Ph}^1$ -positive B-cell lines we have examined (Table 1), we have seen higher levels of  $\text{P}210^{\text{c-abl}}$  in those derived from patients at more advanced stages of the disease.

It will be important to search for cell-type-specific mechanisms that might regulate expression of *bcr-abl* from  $\text{Ph}^1$ .

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## Review

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## Proteome analysis: Biological assay or data archive?

In this review we examine the current state of proteome analysis. There are three main issues discussed: why it is necessary to study proteomes; how proteomes can be analyzed with current technology; and how proteome analysis can be used to enhance biological research. We conclude that proteome analysis is an essential tool in the understanding of regulated biological systems. Current technology, while still mostly limited to the more abundant proteins, enables the use of proteome analysis both to establish databases of proteins present, and to perform biological assays involving measurement of multiple variables. We believe that the utility of proteome analysis in future biological research will continue to be enhanced by further improvements in analytical technology.

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### 1 Introduction

A proteome has been defined as the protein complement expressed by the genome of an organism, or, in multicellular organisms, as the protein complement expressed by a tissue or differentiated cell [1]. In the most common implementation of proteome analysis the proteins extracted from the cell or tissue analyzed are separated by high

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Abbreviations: CID, collision-induced dissociation; MS/MS, tandem mass spectrometry; SAGE, serial analysis of gene expression

Keywords: Proteome / Two-dimensional polyacrylamide gel electrophoresis / Tandem mass spectrometry

resolution two-dimensional gel electrophoresis (2-DE), detected in the gel and identified by their amino acid sequence. The ease, sensitivity and speed with which gel-separated proteins can be identified by the use of recently developed mass spectrometric techniques have dramatically increased the interest in proteome technology. One of the most attractive features of such analyses is that complex biological systems can potentially be studied in their entirety, rather than as a multitude of individual components. This makes it far easier to uncover the many complex, and often obscure, relationships between mature gene products in cells. Large-scale proteome characterization projects have been undertaken for a number of different organisms and cell types. Microbial proteome projects currently in progress include, for example: *Saccharomyces cerevisiae* [2], *Salmonella enterica* [3], *Spiroplasma melliferum* [4], *Mycobacterium tuberculosis* [5], *Ochrobaculum anthropi* [6], *Haemophilus influenzae* [7], *Synechocystis* spp. [8], *Escherichia coli* [9], *Rhizobium leguminosarum* [10], and *Dictyostelium discoideum* [11]. Proteome projects underway for tissues of more complex organisms include those for: human bladder squamous cell carcinomas [12], human liver [13], human plasma [13], human keratinocytes [12], human fibroblasts [12], mouse kidney [12], and rat serum [14]. In this manuscript we critically assess the concept of proteome analysis and the technical feasibility of establishing complete proteome maps, and discuss ways in which proteome analysis and biological research intersect.

### 2 Rationale for proteome analysis

The dramatic growth in both the number of genome projects and the speed with which genome sequences are being determined has generated huge amounts of sequence information, for some species even complete genomic sequences ([15–17]). The description of the state of a biological system by the quantitative measurement of system components has long been a primary objective in molecular biology. With recent technical advances including the development of differential display-PCR [18], cDNA microarray and DNA chip technology [19, 20] and serial analysis of gene expression (SAGE) [21, 22], it is now feasible to establish global and quantitative mRNA expression maps of cells and tissues, in which the sequence of all the genes is known, at a speed and sensitivity which is not matched by current

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protein analysis technology. Given the long-standing paradigm in biology that DNA synthesizes RNA which synthesizes protein, and the ability to rapidly establish global, quantitative mRNA expression maps, the questions which arise are why technically complex proteome projects should be undertaken and what specific types of information could be expected from proteome projects which cannot be obtained from genomic and transcript profiling projects. We see three main reasons for proteome analysis to become an essential component in the comprehensive analysis of biological systems. (i) Protein expression levels are not predictable from the mRNA expression levels, (ii) proteins are dynamically modified and processed in ways which are not necessarily apparent from the gene sequence, and (iii) proteomes are dynamic and reflect the state of a biological system.

## 2.1 Correlation between mRNA and protein expression levels

Interpretations of quantitative mRNA expression profiles frequently implicitly or explicitly assume that for specific genes the transcript levels are indicative of the levels of protein expression. As part of an ongoing study in our laboratory, we have determined the correlation of expression at the mRNA and protein levels for a population of selected genes in the yeast *Saccharomyces cerevisiae* growing at mid-log phase (S. P. Gygi *et al.*, submitted for publication). mRNA expression levels were calculated from published SAGE frequency tables [22]. Protein expression levels were quantified by metabolic radiolabeling of the yeast proteins, liquid scintillation counting of the protein spots separated by high resolution 2-DE and mass spectrometric identification of the protein(s) migrating to each spot. The selected 80 samples constitute a relatively homogeneous group with respect to predicted half-life and expression level of the protein products. Thus far, we have found a general trend but no strong correlation between protein and transcript levels (Fig. 1). For some genes studied equivalent mRNA transcript levels translated into protein abundances which varied by more than 50-fold. Similarly, equivalent steady-state protein expression levels were maintained by transcript levels varying by as much as 40-fold (S. P. Gygi *et al.*, submitted). These results suggest that even for a population of genes predicted to be relatively homogeneous with respect to protein half-life and gene expression, the protein levels cannot be accurately predicted from the level of the corresponding mRNA transcript.

## 2.2 Proteins are dynamically modified and processed

In the mature, biologically active form many proteins are post-translationally modified by glycosylation, phosphorylation, prenylation, acylation, ubiquitination or one or more of many other modifications [23] and many proteins are only functional if specifically associated or complexed with other molecules, including DNA, RNA, proteins and organic and inorganic cofactors. Frequently, modifications are dynamic and reversible and may alter the precise three-dimensional structure and the state of activity of a protein. Collectively, the state of modification of the proteins which constitute a biological system

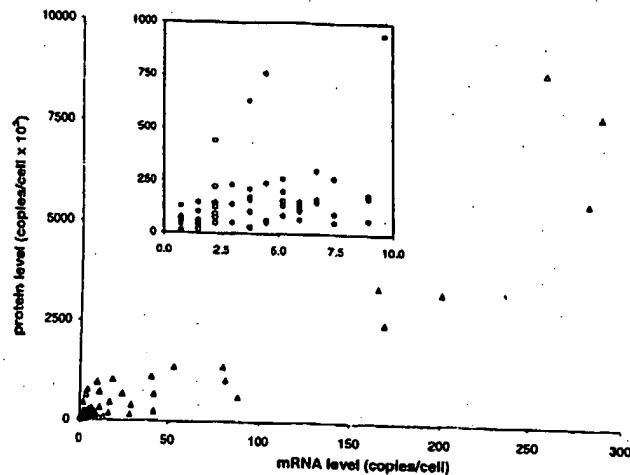


Figure 1. Correlation between mRNA and protein levels in yeast cells. For a selected population of 80 genes, protein levels were measured by  $^{35}\text{S}$ -radiolabeling and mRNA levels were calculated from published SAGE tables. Inset: expanded view of the low abundance region. For more experimental details, also see Figs. 5 and 6, (S. P. Gygi *et al.*, submitted).

are important indicators for the state of the system. The type of protein modification and the sites modified at a specific cellular state can usually not be determined from the gene sequence alone.

## 2.3 Proteomes are dynamic and reflect the state of a biological system

A single genome can give rise to many qualitatively and quantitatively different proteomes. Specific stages of the cell cycle and states of differentiation, responses to growth and nutrient conditions, temperature and stress, and pathological conditions represent cellular states which are characterized by significantly different proteomes. The proteome, in principle, also reflects events that are under translational and post-translational control. It is therefore expected that proteomics will be able to provide the most precise and detailed molecular description of the state of a cell or tissue, provided that the external conditions defining the state are carefully determined. In answer to the question of whether the study of proteomes is necessary for the analysis of biomolecular systems, it is evident that the analysis of mature protein products in cells is essential as there are numerous levels of control of protein synthesis, degradation, processing and modification, which are only apparent by direct protein analysis.

## 3 Description and assessment of current proteome analysis technology

### 3.1 Technical requirements of proteome technology

In biological systems the level of expression as well as the states of modification, processing and macro-molecular association of proteins are controlled and modulated depending on the state of the system. Comprehensive analysis of the identity, quantity and state of modification of proteins therefore requires the detection and

quantitation of the proteins which constitute the system, and analysis of differentially processed forms. There are a number of inherent difficulties in protein analysis which complicate these tasks. First, proteins cannot be amplified. It is possible to produce large amounts of a particular protein by over-expression in specific cell systems. However, since many proteins are dynamically post-translationally modified, they cannot be easily amplified in the form in which they finally function in the biological system. It is frequently difficult to purify from the native source sufficient amounts of a protein for analysis. From a technological point of view this translates into the need for high sensitivity analytical techniques. Second, many proteins are modified and processed post-translationally. Therefore, in addition to the protein identity, the structural basis for differentially modified isoforms also needs to be determined. The distribution of a constant amount of protein over several differentially modified isoforms further reduces the amount of each species available for analysis. The complexity and dynamics of post-translational protein editing thus significantly complicates proteome studies. Third, proteins vary dramatically with respect to their solubility in commonly used solvents. There are few, if any, solvent conditions in which all proteins are soluble and which are also compatible with protein analysis. This makes the development of protein purification methods particularly difficult since both protein purification and solubility have to be achieved under the same conditions. Detergents, in particular sodium dodecyl sulfate (SDS), are frequently added to aqueous solvents to maintain protein solubility. The compatibility with SDS is a big advantage of SDS polyacrylamide gel electrophoresis (SDS-PAGE) over other protein separation techniques. Thus, SDS-PAGE and two-dimensional gel electrophoresis, which also uses SDS and other detergents, are the most general and preferred methods for the purification of small amounts of proteins, provided that activity does not necessarily need to be maintained. Lastly, the number of proteins in a given cell system is typically in the thousands. Any attempt to identify and categorize all of these must use methods which are as rapid as possible to allow completion of the project within a reasonable time frame. Therefore, a successful, general proteomics technology requires high sensitivity, high throughput, the ability to differentiate differentially modified proteins, and the ability to quantitatively display and analyze all the proteins present in a sample.

### 3.2 2-D electrophoresis – mass spectrometry: a common implementation of proteome analysis

The most common currently used implementation of proteome analysis technology is based on the separation of proteins by two-dimensional (IEF/SDS-PAGE) gel electrophoresis and their subsequent identification and analysis by mass spectrometry (MS) or tandem mass spectrometry (MS/MS). In 2-DE, proteins are first separated by isoelectric focusing (IEF) and then by SDS-PAGE, in the second, perpendicular dimension. Separated proteins are visualized at high sensitivity by staining or autoradiography, producing two-dimensional arrays of proteins. 2-DE gels are, at present, the most commonly used means of global display of proteins in complex

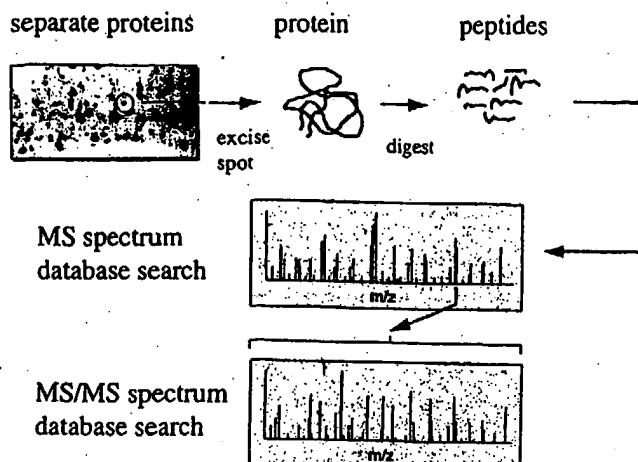
samples. The separation of thousands of proteins has been achieved in a single gel [24, 25] and differentially modified proteins are frequently separated. Due to the compatibility of 2-DE with high concentrations of detergents, protein denaturants and other additives promoting protein solubility, the technique is widely used.

The second step of this type of proteome analysis is the identification and analysis of separated proteins. Individual proteins from polyacrylamide gels have traditionally been identified using *N*-terminal sequencing [26, 27], internal peptide sequencing [28, 29], immunoblotting or comigration with known proteins [30]. The recent dramatic growth of large-scale genomic and expressed sequence tag (EST) sequence databases has resulted in a fundamental change in the way proteins are identified by their amino acid sequence. Rather than by the traditional methods described above, protein sequences are now frequently determined by correlating mass spectral or tandem mass spectral data of peptides derived from proteins, with the information contained in sequence databases [31–33].

There are a number of alternative approaches to proteome analysis currently under development. There is considerable interest in developing a proteome analysis strategy which bypasses 2-DE altogether, because it is considered a relatively slow and tedious process, and because of perceived difficulties in extracting proteins from the gel matrix for analysis. However, 2-DE as a starting point for proteome analysis has many advantages compared to other techniques available today. The most significant strengths of the 2-DE-MS approach include the relatively uniform behavior of proteins in gels, the ability to quantify spots and the high resolution and simultaneous display of hundreds to thousands of proteins within a reasonable time frame.

A schematic diagram of a typical procedure of the identification of gel-separated proteins is shown in Fig. 2. Protein spots detected in the gel are enzymatically or chemically fragmented and the peptide fragments are isolated for analysis, as already indicated, most frequently by MS or MS/MS. There are numerous protocols for the generation of peptide fragments from gel-separated proteins. They can be grouped into two categories, digestion in the gel slice [28, 34] or digestion after electrotransfer out of the gel onto a suitable membrane ([29, 35–37] and reviewed in [38]). In most instances either technique is applicable and yields good results. The analysis of MS or MS/MS data is an important step in the whole process because MS instruments can generate an enormous amount of information which cannot easily be managed manually. Recently, a number of groups have developed software systems dedicated to the use of peptide MS and MS/MS spectra for the identification of proteins. Proteins are identified by correlating the information contained in the MS spectra of protein digests or MS/MS spectra of individual peptides with data contained in DNA or protein sequence databases.

The systems we are currently using in our laboratory are based on the separation of the peptides contained in protein digests by narrow bore or capillary liquid chromatog-



**Figure 2.** Schematic diagram of a procedure for identification of gel-separated proteins. Peptides can either be separated by a technique such as LC or CE, or infused as a mixture and sorted in the MS. Database searching can either be performed on peptide masses from an MS spectrum, peptide fragment masses from CID spectra of peptides, or a combination of both.

raphy [39, 40] or capillary electrophoresis [41], the analysis of the separated peptides by electrospray ionization (ESI) MS/MS, and the correlation of the generated peptide spectra with sequence databases using the SEQUEST program developed at the University of Washington [32, 33]. The system automatically performs the following operations: a particular peptide ion characterized by its mass-to-charge ratio is selected in the MS out of all the peptide ions present in the system at a particular time; the selected peptide ion is collided in a collision cell with argon (collision-induced dissociation, CID) and the masses of the resulting fragment ions are determined in the second sector of the tandem MS; this experimentally determined CID spectrum is then correlated with the CID spectra predicted from all the peptides in a sequence database which have essentially the same mass as the peptide selected for CID; this correlation matches the isolated peptide with a sequence segment in a database and thus identifies the protein from which the peptide was derived. There are a number of alternative programs which use peptide CID spectra for protein identification, but we use the SEQUEST system because it is currently the most highly automated program and has proven to be successful, versatile and robust.

### 3.3 Protein identification by LC-MS/MS, capillary LC-MS/MS and CE-MS/MS

It has been demonstrated repeatedly that MS has a very high intrinsic sensitivity. For the routine analysis of gel-separated proteins at high sensitivity, the most significant challenge is the handling of small amounts of sample. The crux of the problem is the extraction and transfer of peptide mixtures generated by the digestion of low nanogram amounts of protein, from gels into the MS/MS system without significant loss of sample or introduction of unwanted contaminants. We employ three different systems for introducing gel-purified samples into an MS, depending on the level of sensitivity

required. As an approximate guideline, for samples containing tens of picomoles of peptides, LC-MS/MS is most appropriate; for samples containing low picomole amounts to high femtomole amounts we use capillary LC-MS/MS; and for samples containing femtomoles or less, CE-MS/MS is the method of choice.

#### 3.3.1 LC-MS/MS

The coupling of an MS to an HPLC system using a 0.5 mm diameter or bigger reverse phase (RP) column has been described in detail [42]. This system has several advantages if a large number of samples are to be analyzed and all are available in sufficient quantity. The LC-MS and database searching program can be run in a fully automated mode using an autosampler, thus maximizing sample throughput and minimizing the need for operator interference. The relatively large column is tolerant of high levels of impurities from either gel preparation or sample matrix. Lastly, if configured with a flow-splitter and micro-sprayer [40], analyses can be performed on a small fraction of the sample (less than 5%) while the remainder of the sample is recovered in very pure solvents. This latter feature is particularly useful when an orthogonal technique is also used to analyze peptide fractions, such as scintillation of an introduced radiolabel, and this data can be correlated with peptides identified by CID spectra.

#### 3.3.2 Capillary LC-MS

An increase of sensitivity of approximately tenfold can be achieved by using a capillary LC system with a 100  $\mu$ m ID column rather than a 0.5 mm ID column as referred to above. Since very low flow rates are required for such columns, most reports have used a precolumn flow splitting system for producing solvent gradients. We have recently described the design and construction of a novel gradient mixing system which enables the formation of reproducible gradients at very low flow rates (low nL/min) without the need for flow splitting (A. Ducret *et al.*, submitted for publication). Using this capillary LC-MS/MS system we were able to identify gel-separated proteins if low picomole to high femtomole amounts were loaded onto the gel [40]. This system is as yet not automated and, like all capillary LC systems, is prone to blockage of the columns by microparticulates when analyzing gel-separated proteins.

#### 3.3.3 CE-MS/MS

The highest level of sensitivity for analyzing gel-separated proteins can be achieved by using capillary electrophoresis – mass spectrometry (CE-MS). We have described in the past a solid-phase extraction capillary electrophoresis (SPE-CE) system which was used with triple quadrupole and ion trap ESI-MS/MS systems for the identification of proteins at the low femtomole to subfemtomole sensitivity level [43, 44]. While this system is highly sensitive, its operation is labor-intensive and its operation has not been automated. In order to devise an analytical system with both the sensitivity of a CE and the level of automation of LC, we have constructed

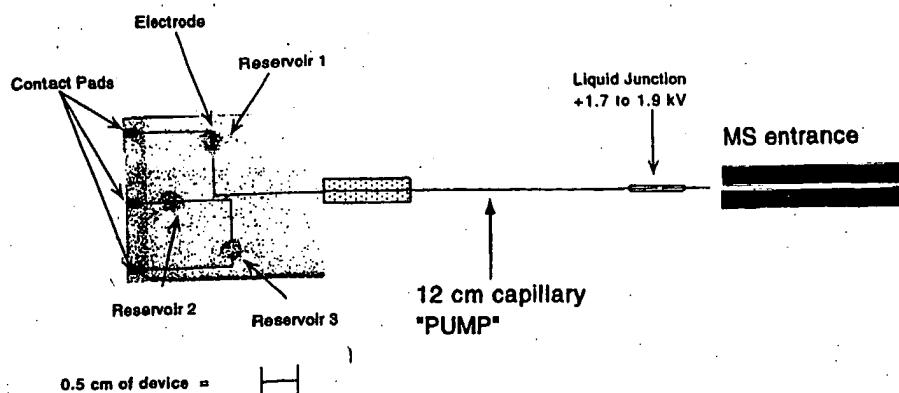


Figure 3. Schematic illustration of a microfabricated analytical system for CE, consisting of a micromachined device, coated capillary electroosmotic pump, and microelectrospray interface. The dimensions of the channels and reservoir are as indicated in the text. The channels on the device were graphically enhanced to make them more visible. Reproduced from [45], with permission.

microfabricated devices for the introduction of samples into ESI-MS for high-sensitivity peptide analysis.

The basic device is a piece of glass into which channels of 10–30  $\mu\text{m}$  in depth and 50–70  $\mu\text{m}$  in diameter are etched by using photolithography/etching techniques similar to the ones used in the semiconductor industry. (A simple device is shown in Fig. 3). The channels are connected to an external high voltage power supply [45]. Samples are manipulated on the device and off the device to the MS by applying different potentials to the reservoirs. This creates a solvent flow by electroosmotic pumping which can be redirected by changing the position of the electrode. Therefore, without the need for valves or gates and without any external pumping, the flow can be redirected by simply switching the position of the electrodes on the device. The direction and rate of the flow can be modulated by the size and the polarity of the electric field applied and also by the charge state of the surface.

The type of data generated by the system is illustrated in Fig. 4, which shows the mass spectrum of a peptide sample representing the tryptic digest of carbonic anhydrase at 290 fmol/ $\mu\text{L}$ . Each numbered peak indicates a peptide successfully identified as being derived from carbonic an-

hydrase. Some of the unassigned signals may be chemical or peptide contaminants. The MS is programmed to automatically select each peak and subject the peptide to CID. The resulting CID spectra are then used to identify the protein by correlation with sequence databases. Therefore, this system allows us to concurrently apply a number of protein digests onto the device, to sequentially mobilize the samples, to automatically generate CID spectra of selected peptide ions and to search sequence databases for protein identification. These steps are performed automatically without the need for user input and proteins can be identified at very low femtomole level sensitivity at a rate of approximately one protein per 15 min.

### 3.4 Assessment of 2-DE-MS proteome technology

Using a combination of the analytical techniques described above we have identified the 80 protein spots indicated in Fig. 5. The protein pattern was generated by separating a total of 40 microgram of protein contained in a total cell lysate of the yeast strain YPH499 by high resolution 2-DE and silver staining of the separated proteins. To estimate how far this type of proteome analysis can penetrate towards the identification of low abundance proteins, we have calculated the codon bias of the genes encoding the respective proteins. Codon bias is a

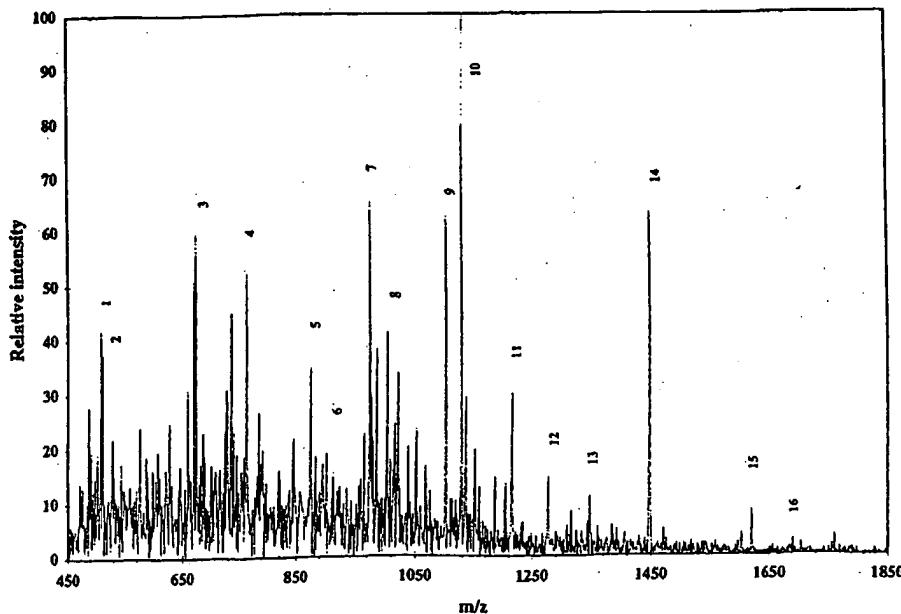


Figure 4. MS spectrum of a tryptic digest of carbonic anhydrase using the microfabricated system shown in Fig. 3. 290 fmol/ $\mu\text{L}$  of carbonic anhydrase tryptic digest was infused into a Finnigan LCQ ion trap MS. Each peak was selected for CID, and those which were identified as containing peptides derived from carbonic anhydrase are numbered. Reproduced from [45], with permission.

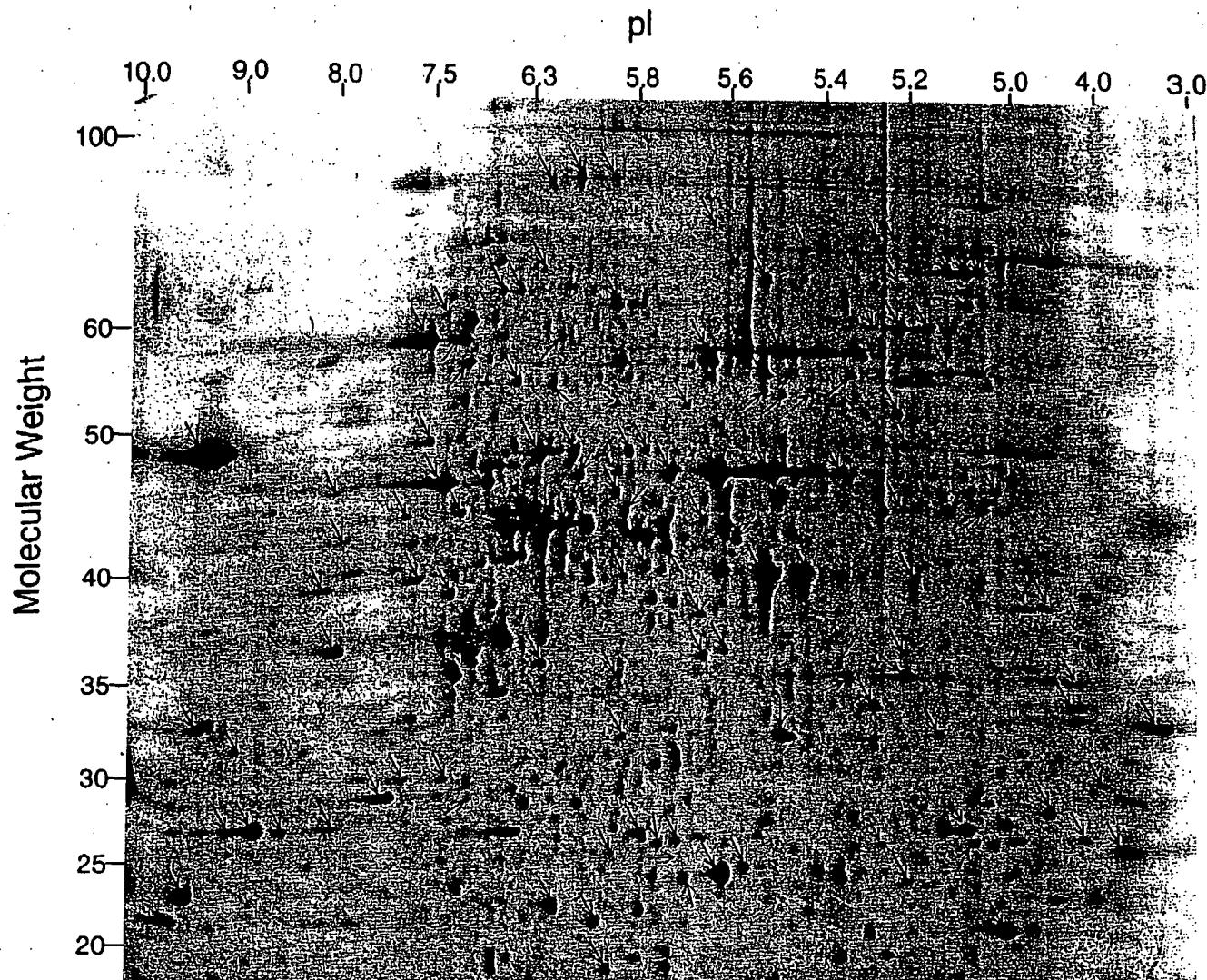


Figure 5. 2-DE separation of a lysate of yeast cells, with identified proteins highlighted. The first dimension of separation was an IPG from pH 3–10, and the second dimension was a 10%T SDS-PAGE gel. Proteins were visualized by silver staining. Further details of experimental procedures are included in S. P. Gygi *et al.* (submitted).

calculated measure of the degree of redundancy of triplet DNA codons used to produce each amino acid in a particular gene sequence. It has been shown to be a useful indicator of the level of the protein product of a particular gene sequence present in a cell [46]. The general rule which applies is that the higher the value of the codon bias calculated for a gene, the more abundant the protein product of that gene becomes. The calculated codon bias values corresponding to the proteins identified in Fig. 5 are shown in Fig. 6b. Nearly all of the proteins identified (> 95%) have codon bias values of > 0.2, indicating they are highly abundant in cells. In contrast, codon bias values calculated for the entire yeast genome (Fig. 6a) show that the majority of proteins present in the proteome have a codon bias of < 0.2 and are thus of low abundance.

This finding is of considerable importance in our assessment of the current status of proteome analysis technology. It is clear that even using highly sensitive analytical techniques, we are only able to visualize and identify the

more abundant proteins. Since many important regulatory proteins are present only at low abundance, these would not be amenable to analysis using such techniques. This situation would be exacerbated in the analysis of proteomes containing many more proteins than the approximately 6000 gene products present in yeast cells [16]. In the analysis of, for example, the proteome of any human cells, there are potentially 50 000–100 000 gene products [47]. Inherent limitations on the amount of protein that can be loaded on 2-DE, and the number of components that can be resolved, indicate that only the most highly abundant fraction of the many gene products could be successfully analyzed. One approach that has been employed to circumvent these limitations is the use of very narrow range immobilized pH gradient strips for the first-dimension separation of 2-DE [48]. Since only those proteins which focus within the narrow range will enter the second dimension of separation, a much higher sample loading within the desired range is possible. This, in turn, can lead to the visualization and identification of less abundant proteins.

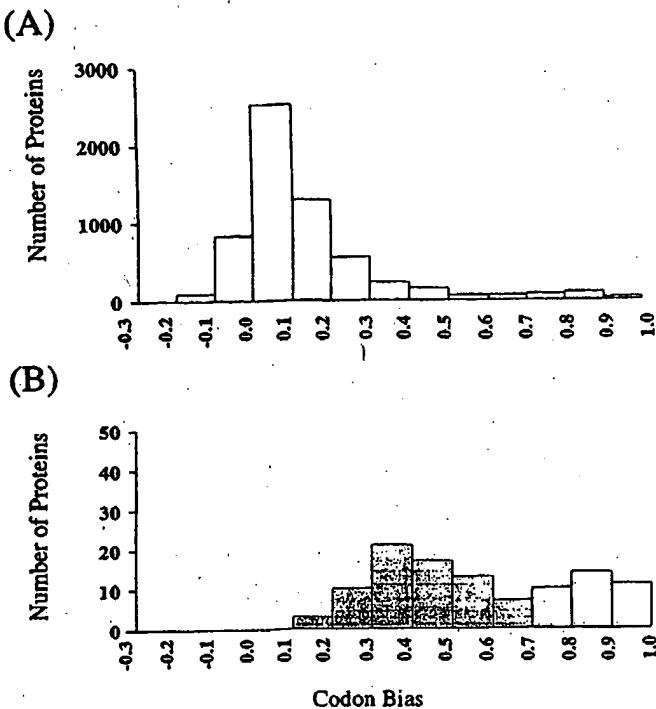


Figure 6. Calculated codon bias values for yeast proteins. (A) Distribution of calculated values for the entire yeast proteome. (B) Distribution of calculated values for the subset of 80 identified proteins also shown in Figs. 1 and 5. Further details of experimental procedures are included in S. P. Gygi *et al.* (submitted).

#### 4 Utility of proteome analysis for biological research

For the success of proteomics as a mainstream approach to the analysis of biological systems it is essential to define how proteome analysis and biological research projects intersect. Without a clear plan for the implementation of proteome-type approaches into biological research projects the full impact of the technology can not be realized. The literature indicates that proteome analysis is used both as a database/data archive, and as a biological assay or biological research tool.

##### 4.1 The proteome as a database

The use of proteomics as a database or data archive essentially entails an attempt to identify all the proteins in a cell or species and to annotate each protein with the known biological information that is relevant for each protein. The level of annotation can, of course, be extensive. The most common implementation of this idea is the separation of proteins by high resolution 2-DE, the identification of each detected protein spot and the annotation of the protein spots in a 2-DE gel database format. This approach is complicated by the fact that it is difficult to precisely define a proteome and to decide which proteome should be represented in the database. In contrast to the genome of a species, which is essentially static, the proteome is highly dynamic. Processes such as differentiation, cell activation and disease can all significantly change the proteome of a species. This is illustrated in Fig. 7. The figure shows two high-resolu-

tion 2-DE maps of proteins isolated from rat serum. Fig. 7A is from the serum of normal rats, while Fig. 7B is from the serum of rats in acute-phase serum after prior treatment with an inflammation-causing agent [49]. It is obvious that the protein patterns are significantly different in several areas, raising the question of exactly which proteome is being described.

Therefore, a comprehensive proteome database of a species or cell type needs to contain all of the parameters which describe the state and the type of the cells from which the proteins were extracted as well as the software tools to search the database with queries which reflect the dynamics of biological systems. A comprehensive proteome database should be capable of quantitatively describing the fate of each protein if specific systems and pathways are activated in the cell. Specifically, the quantity, the degree of modification, the subcellular location and the nature of molecules specifically interacting with a protein as well as the rate of change of these variables should be described. Using these admittedly stringent criteria, there is currently no complete proteome database. A number of such databases are, however, in the process of being constructed. The most advanced among them, in our opinion, are the yeast protein database YPD [50] (accessible at <http://wwwYPD.com>) and the human 2D-PAGE databases of the Danish Centre for Human Genome Research [12] (accessible at <http://biobase.dk/cgi-bin/celis>). While neither can be considered complete as not all of the potential gene products are identified, both contain extensive annotation of supplemental information for many of the spots which are positively identified in reference samples.

##### 4.2 The proteome as a biological assay

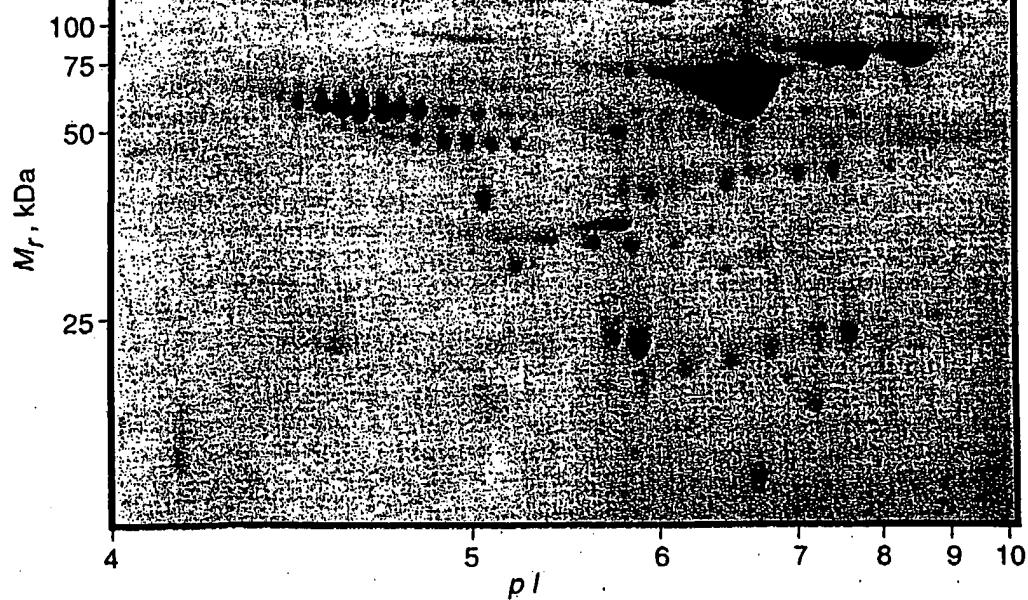
The use of proteome analysis as a biological assay or research tool represents an alternative approach to integrating biology with proteomics. To investigate the state of a system, samples are subjected to a specific process that allows the quantitative or qualitative measurement of some of the variables which describe the system. In typical biochemical assays one variable (e.g., enzyme activity) of a single component (e.g., a particular enzyme) is measured. Using proteomics as an assay, multiple variables (e.g., expression level, rate of synthesis, phosphorylation state, etc.) are measured concurrently on many (ideally all) of the proteins in a sample. The use of proteomics as an assay is a less far-reaching proposition than the construction of a comprehensive proteome database. It does, however, represent a pragmatic approach which can be adapted to investigate specific systems and pathways, as long as the interpretation of the results takes into account that with current technology not all of the variables which describe the system can be observed (see Section 3.4).

A common implementation of proteome analysis as a biological assay is when a 2-DE protein pattern generated from the analysis of an experimental sample is compared to an array of reference patterns representing different states of the system under investigation. The state of the experimental system at the time the sample was generated is therefore determined by the quantita-

tive comparative analysis of hundreds to a few thousand proteins. Comparative analysis of the 2-DE patterns furthermore highlights quantitative and qualitative differences in the protein profiles which correlate with the state of the system. For this type of analysis it is not essential that all the proteins are identified or even visualized,

although the results become more informative as more proteins are compared. It is obvious, however, that the possibility to identify any protein deemed characteristic for a particular state dramatically enhances this approach by opening up new avenues for experimentation.

(A)



(B)

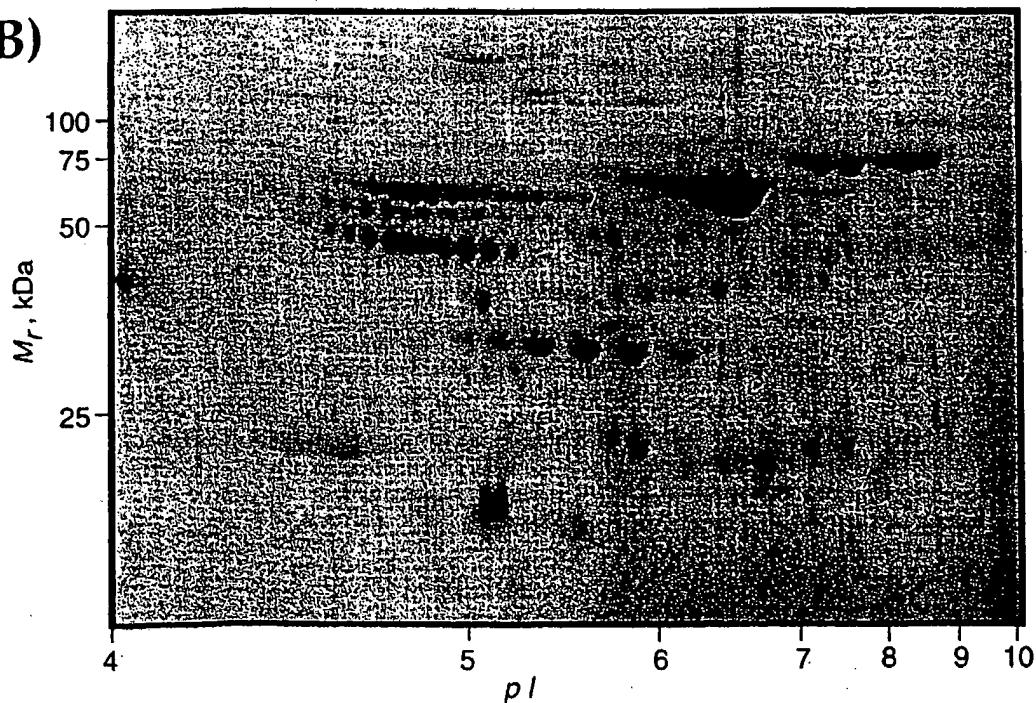


Figure 7. High resolution 2-DE map of proteins isolated from rat serum with or without prior exposure to an inflammation-causing agent. (A) normal rat serum, (B) acute-phase serum from rats which had previously been exposed to an inflammation-causing agent. The first dimension of separation is an IPG from pH 4–10, and the second dimension is a 7.5–17.5%T gradient SDS-PAGE gel. Proteins were visualized by staining with amido black. Further details of experimental procedures are included in [14, 49].

Proteome analysis as a biological assay has been successfully used in the field of toxicology, to characterize disease states or to study differential activation of cells. The approach is limited, of course, by the fact that only the visible protein spots are included in the assay, and it is well known that a substantial but far from complete fraction of cellular proteins are detected if a total cell lysate is separated by 2-DE. Proteins may not be detected in 2-DE gels because they are not abundant enough to be visualized by the detection method used, because they do not migrate within the boundaries (size, *pI*) resolved by the gel, because they are not soluble under the conditions used, or for other reasons.

A different way to use proteome analysis as a biological assay to define the state of a biological system is to take advantage of the wealth of information contained in 2-DE protein patterns. 2-DE is referred to as two-dimensional because of the electrophoretic mobility and the isoelectric points which define the position of each protein in a 2-DE pattern. In addition to the two dimensions used to generate the protein patterns, a number of additional data dimensions are contained in the protein patterns. Some of these dimensions such as protein expression level, phosphorylation state, subcellular location, association with other proteins, rate of synthesis or degradation indicate the activity state of a protein or a biological system. Comparative analysis of 2-DE protein patterns representing different states is therefore ideally suited for the detection, identification and analysis of suitable markers. Once again it must be emphasized that in this type of experiment only a fraction of the cellular proteins is analyzed. Since many regulatory proteins are of low abundance, this limitation is a concern, particularly in cases in which regulatory pathways are being investigated.

## 5 Concluding remarks

In this report we have addressed three main issues related to proteome analysis. First, we have discussed the rationale for studying proteomes. Second, we have assessed the technical feasibility of analyzing proteomes and described current proteome technology, and third, we have analyzed the utility of proteome analysis for biological research. It is apparent that proteome analysis is an essential tool in the analysis of biological systems. The multi-level control of protein synthesis and degradation in cells means that only the direct analysis of mature protein products can reveal their correct identities, their relevant state of modification and/or association and their amounts. Recently developed methods have enabled the identification of proteins at ever-increasing sensitivity levels and at a high level of automation of the analytical processes. A number of technical challenges, however, remain. While it is currently possible to identify essentially any protein spots that can be visualized by common staining methods, it is apparent that without prior enrichment only a relatively small and highly selected population of long-lived, highly expressed proteins is observed. There are many more proteins in a given cell which are not visualized by such methods. Frequently it is the low abundance proteins that execute key regulatory functions.

We have outlined the two principal ways proteome analysis is currently being used to intersect with biological research projects: the proteome as a database or data archive and proteome analysis as a biological assay. Both approaches have in common that at present they are conceptually and technically limited. Current proteome databases typically are limited to one cell type and one state of a cell and therefore do not account for the dynamics of biological systems. The use of proteome analysis as a biological assay can provide a wealth of information, but it is limited to the proteins detected and is therefore not truly proteome-wide. These limitations in proteomics are to a large extent a reflection of the fact that proteins in their fully processed form cannot easily be amplified and are therefore difficult to isolate in amounts sufficient for analysis or experimentation. The fact that to date no complete proteome has been described further attests to these difficulties. With continued rapid progress in protein analysis technology, however, we anticipate that the goal of complete proteome analysis will eventually become attainable.

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(30) Priority Data: <table><tbody><tr><td>60/087,607</td><td>2 June 1998 (02.06.98)</td><td>US</td></tr><tr><td>60/087,609</td><td>2 June 1998 (02.06.98)</td><td>US</td></tr><tr><td>60/087,759</td><td>2 June 1998 (02.06.98)</td><td>US</td></tr><tr><td>60/087,827</td><td>3 June 1998 (03.06.98)</td><td>US</td></tr><tr><td>60/088,021</td><td>4 June 1998 (04.06.98)</td><td>US</td></tr><tr><td>60/088,025</td><td>4 June 1998 (04.06.98)</td><td>US</td></tr><tr><td>60/088,028</td><td>4 June 1998 (04.06.98)</td><td>US</td></tr><tr><td>60/088,029</td><td>4 June 1998 (04.06.98)</td><td>US</td></tr><tr><td>60/088,030</td><td>4 June 1998 (04.06.98)</td><td>US</td></tr><tr><td>60/088,033</td><td>4 June 1998 (04.06.98)</td><td>US</td></tr><tr><td>60/088,326</td><td>4 June 1998 (04.06.98)</td><td>US</td></tr><tr><td>60/088,167</td><td>5 June 1998 (05.06.98)</td><td>US</td></tr><tr><td>60/088,202</td><td>5 June 1998 (05.06.98)</td><td>US</td></tr><tr><td>60/088,212</td><td>5 June 1998 (05.06.98)</td><td>US</td></tr><tr><td>60/088,217</td><td>5 June 1998 (05.06.98)</td><td>US</td></tr><tr><td>60/088,655</td><td>9 June 1998 (09.06.98)</td><td>US</td></tr><tr><td>60/088,722</td><td>10 June 1998 (10.06.98)</td><td>US</td></tr><tr><td>60/088,730</td><td>10 June 1998 (10.06.98)</td><td>US</td></tr><tr><td>60/088,734</td><td>10 June 1998 (10.06.98)</td><td>US</td></tr><tr><td>60/088,738</td><td>10 June 1998 (10.06.98)</td><td>US</td></tr><tr><td>60/088,740</td><td>10 June 1998 (10.06.98)</td><td>US</td></tr><tr><td>60/088,741</td><td>10 June 1998 (10.06.98)</td><td>US</td></tr></tbody></table>		60/087,607	2 June 1998 (02.06.98)	US	60/087,609	2 June 1998 (02.06.98)	US	60/087,759	2 June 1998 (02.06.98)	US	60/087,827	3 June 1998 (03.06.98)	US	60/088,021	4 June 1998 (04.06.98)	US	60/088,025	4 June 1998 (04.06.98)	US	60/088,028	4 June 1998 (04.06.98)	US	60/088,029	4 June 1998 (04.06.98)	US	60/088,030	4 June 1998 (04.06.98)	US	60/088,033	4 June 1998 (04.06.98)	US	60/088,326	4 June 1998 (04.06.98)	US	60/088,167	5 June 1998 (05.06.98)	US	60/088,202	5 June 1998 (05.06.98)	US	60/088,212	5 June 1998 (05.06.98)	US	60/088,217	5 June 1998 (05.06.98)	US	60/088,655	9 June 1998 (09.06.98)	US	60/088,722	10 June 1998 (10.06.98)	US	60/088,730	10 June 1998 (10.06.98)	US	60/088,734	10 June 1998 (10.06.98)	US	60/088,738	10 June 1998 (10.06.98)	US	60/088,740	10 June 1998 (10.06.98)	US	60/088,741	10 June 1998 (10.06.98)	US	(74) Agents: <b>KRESNAK, Mark, T. et al.; Genentech, Inc., 1 DNA Way, South San Francisco, CA 94080-4990 (US).</b>	
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<p>The present invention is directed to polypeptides and to nucleic acid molecules encoding those polypeptides. Also provided herein are vectors and host cells comprising those nucleic acid sequences, chimeric polypeptide molecules comprising the polypeptides of the present invention fused to heterologous polypeptide sequences, antibodies which bind to the polypeptides of the present invention and to methods for producing the polypeptides of the present invention.</p>																																																																					

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the test DNA molecule under conditions suitable for expression of the polypeptide, and (iii) recovering the polypeptide from the cell culture.

In yet another embodiment, the invention concerns agonists and antagonists of a native PRO1131 polypeptide. In a particular embodiment, the agonist or antagonist is an anti-PRO1131 antibody.

5 In a further embodiment, the invention concerns a method of identifying agonists or antagonists of a native PRO1131 polypeptide, by contacting the native PRO1131 polypeptide with a candidate molecule and monitoring a biological activity mediated by said polypeptide.

In a still further embodiment, the invention concerns a composition comprising a PRO1131 polypeptide, or an agonist or antagonist as hereinabove defined, in combination with a pharmaceutically acceptable carrier.

10 In another embodiment, the invention provides an expressed sequence tag (EST) designated herein as DNA43546 comprising the nucleotide sequence of Figure 231 (SEQ ID NO:320).

99. **PRO1281**

A cDNA clone (DNA59820-1549) has been identified that encodes a novel secreted polypeptide designated in the present application as "PRO1281".

15 In one embodiment, the invention provides an isolated nucleic acid molecule comprising DNA encoding a PRO1281 polypeptide.

In one aspect, the isolated nucleic acid comprises DNA having at least about 80% sequence identity, preferably at least about 85% sequence identity, more preferably at least about 90% sequence identity, most preferably at least about 95% sequence identity to (a) a DNA molecule encoding a PRO1281 polypeptide having 20 the sequence of amino acid residues from about 16 to about 775, inclusive of Figure 233 (SEQ ID NO:326), or (b) the complement of the DNA molecule of (a).

25 In another aspect, the invention concerns an isolated nucleic acid molecule encoding a PRO1281 polypeptide comprising DNA hybridizing to the complement of the nucleic acid between about residues 273 and about 2552, inclusive, of Figure 232 (SEQ ID NO:325). Preferably, hybridization occurs under stringent hybridization and wash conditions.

In a further aspect, the invention concerns an isolated nucleic acid molecule comprising DNA having at least about 80% sequence identity, preferably at least about 85% sequence identity, more preferably at least about 90% sequence identity, most preferably at least about 95% sequence identity to (a) a DNA molecule encoding the same mature polypeptide encoded by the human protein cDNA in ATCC Deposit No. 203129 30 (DNA59820-1549), or (b) the complement of the DNA molecule of (a). In a preferred embodiment, the nucleic acid comprises a DNA encoding the same mature polypeptide encoded by the human protein cDNA in ATCC Deposit No. 203129 (DNA59820-1549).

35 In a still further aspect, the invention concerns an isolated nucleic acid molecule comprising (a) DNA encoding a polypeptide having at least about 80% sequence identity, preferably at least about 85% sequence identity, more preferably at least about 90% sequence identity, most preferably at least about 95% sequence identity to the sequence of amino acid residues from about 16 to about 775, inclusive of Figure 233 (SEQ ID NO:326), or the complement of the DNA of (a).

In a further aspect, the invention concerns an isolated nucleic acid molecule having at least about 50 nucleotides, and preferably at least about 100 nucleotides and produced by hybridizing a test DNA molecule under stringent conditions with (a) a DNA molecule encoding a PRO1281 polypeptide having the sequence of amino acid residues from about 16 to about 775, inclusive of Figure 233 (SEQ ID NO:326), or (b) the complement of the DNA molecule of (a), and, if the DNA molecule has at least about an 80% sequence identity, 5 preferably at least about an 85% sequence identity, more preferably at least about a 90% sequence identity, most preferably at least about a 95% sequence identity to (a) or (b), isolating the test DNA molecule.

In a specific aspect, the invention provides an isolated nucleic acid molecule comprising DNA encoding a PRO1281 polypeptide, with or without the N-terminal signal sequence and/or the initiating methionine, or is complementary to such encoding nucleic acid molecule. The signal peptide has been tentatively identified as 10 extending from amino acid position 1 through about amino acid position 15 in the sequence of Figure 233 (SEQ ID NO:326).

In another aspect, the invention concerns an isolated nucleic acid molecule comprising (a) DNA encoding a polypeptide scoring at least about 80% positives, preferably at least about 85% positives, more preferably at least about 90% positives, most preferably at least about 95% positives when compared with the 15 amino acid sequence of residues 16 to about 775, inclusive of Figure 233 (SEQ ID NO:326), or (b) the complement of the DNA of (a).

Another embodiment is directed to fragments of a PRO1281 polypeptide coding sequence that may find use as hybridization probes. Such nucleic acid fragments are from about 20 to about 80 nucleotides in length, preferably from about 20 to about 60 nucleotides in length, more preferably from about 20 to about 50 20 nucleotides in length, and most preferably from about 20 to about 40 nucleotides in length.

In another embodiment, the invention provides isolated PRO1281 polypeptide encoded by any of the isolated nucleic acid sequences hereinabove defined.

In a specific aspect, the invention provides isolated native sequence PRO1281 polypeptide, which in one embodiment, includes an amino acid sequence comprising residues 16 to 775 of Figure 233 (SEQ ID NO:326).

25 In another aspect, the invention concerns an isolated PRO1281 polypeptide, comprising an amino acid sequence having at least about 80% sequence identity, preferably at least about 85% sequence identity, more preferably at least about 90% sequence identity, most preferably at least about 95% sequence identity to the sequence of amino acid residues 16 to about 775, inclusive of Figure 233 (SEQ ID NO:326).

In a further aspect, the invention concerns an isolated PRO1281 polypeptide, comprising an amino acid 30 sequence scoring at least about 80% positives, preferably at least about 85% positives, more preferably at least about 90% positives, most preferably at least about 95% positives when compared with the amino acid sequence of residues 16 to 775 of Figure 233 (SEQ ID NO:326).

In yet another aspect, the invention concerns an isolated PRO1281 polypeptide, comprising the sequence 35 of amino acid residues 16 to about 775, inclusive of Figure 233 (SEQ ID NO:326), or a fragment thereof sufficient to provide a binding site for an anti-PRO1281 antibody. Preferably, the PRO1281 fragment retains a qualitative biological activity of a native PRO1281 polypeptide.

In a still further aspect, the invention provides a polypeptide produced by (i) hybridizing a test DNA molecule under stringent conditions with (a) a DNA molecule encoding a PRO1281 polypeptide having the sequence of amino acid residues from about 16 to about 775, inclusive of Figure 233 (SEQ ID NO:326), or (b) the complement of the DNA molecule of (a), and if the test DNA molecule has at least about an 80% sequence identity, preferably at least about an 85% sequence identity, more preferably at least about a 90% sequence identity, most preferably at least about a 95% sequence identity to (a) or (b), (ii) culturing a host cell comprising the test DNA molecule under conditions suitable for expression of the polypeptide, and (iii) recovering the polypeptide from the cell culture.

100. **PRO1064**

10 A cDNA clone (DNA59827-1426) has been identified that encodes a novel transmembrane polypeptide, designated in the present application as "PRO1064".

In one embodiment, the invention provides an isolated nucleic acid molecule comprising DNA encoding a PRO1064 polypeptide.

15 In one aspect, the isolated nucleic acid comprises DNA having at least about 80% sequence identity, preferably at least about 85% sequence identity, more preferably at least about 90% sequence identity, most preferably at least about 95% sequence identity to (a) a DNA molecule encoding a PRO1064 polypeptide having the sequence of amino acid residues from about 1 or about 25 to about 153, inclusive of Figure 235 (SEQ ID NO:334), or (b) the complement of the DNA molecule of (a).

20 In another aspect, the invention concerns an isolated nucleic acid molecule encoding a PRO1064 polypeptide comprising DNA hybridizing to the complement of the nucleic acid between about nucleotides 532 or about 604 and about 990, inclusive, of Figure 234 (SEQ ID NO:333). Preferably, hybridization occurs under stringent hybridization and wash conditions.

25 In a further aspect, the invention concerns an isolated nucleic acid molecule comprising DNA having at least about 80% sequence identity, preferably at least about 85% sequence identity, more preferably at least about 90% sequence identity, most preferably at least about 95% sequence identity to (a) a DNA molecule encoding the same mature polypeptide encoded by the human protein cDNA in ATCC Deposit No. 203089 (DNA59827-1426) or (b) the complement of the nucleic acid molecule of (a). In a preferred embodiment, the nucleic acid comprises a DNA encoding the same mature polypeptide encoded by the human protein cDNA in ATCC Deposit No. 203089 (DNA59827-1426).

30 In still a further aspect, the invention concerns an isolated nucleic acid molecule comprising (a) DNA encoding a polypeptide having at least about 80% sequence identity, preferably at least about 85% sequence identity, more preferably at least about 90% sequence identity, most preferably at least about 95% sequence identity to the sequence of amino acid residues 1 or about 25 to about 153, inclusive of Figure 235 (SEQ ID NO:334), or (b) the complement of the DNA of (a).

35 In a further aspect, the invention concerns an isolated nucleic acid molecule having at least 10 nucleotides and produced by hybridizing a test DNA molecule under stringent conditions with (a) a DNA molecule encoding a PRO1064 polypeptide having the sequence of amino acid residues from 1 or about 25 to

an isolated PRO polypeptide nucleic acid molecule includes PRO polypeptide nucleic acid molecules contained in cells that ordinarily express the PRO polypeptide where, for example, the nucleic acid molecule is in a chromosomal location different from that of natural cells.

The term "control sequences" refers to DNA sequences necessary for the expression of an operably linked coding sequence in a particular host organism. The control sequences that are suitable for prokaryotes, 5 for example, include a promoter, optionally an operator sequence, and a ribosome binding site. Eukaryotic cells are known to utilize promoters, polyadenylation signals, and enhancers.

Nucleic acid is "operably linked" when it is placed into a functional relationship with another nucleic acid sequence. For example, DNA for a presequence or secretory leader is operably linked to DNA for a polypeptide if it is expressed as a preprotein that participates in the secretion of the polypeptide; a promoter or 10 enhancer is operably linked to a coding sequence if it affects the transcription of the sequence; or a ribosome binding site is operably linked to a coding sequence if it is positioned so as to facilitate translation. Generally, "operably linked" means that the DNA sequences being linked are contiguous, and, in the case of a secretory leader, contiguous and in reading phase. However, enhancers do not have to be contiguous. Linking is accomplished by ligation at convenient restriction sites. If such sites do not exist, the synthetic oligonucleotide 15 adaptors or linkers are used in accordance with conventional practice.

The term "antibody" is used in the broadest sense and specifically covers, for example, single anti-PRO monoclonal antibodies (including agonist, antagonist, and neutralizing antibodies), anti-PRO antibody compositions with polyepitopic specificity, single chain anti-PRO antibodies, and fragments of anti-PRO antibodies (see below). The term "monoclonal antibody" as used herein refers to an antibody obtained from a 20 population of substantially homogeneous antibodies, i.e., the individual antibodies comprising the population are identical except for possible naturally-occurring mutations that may be present in minor amounts.

"Stringency" of hybridization reactions is readily determinable by one of ordinary skill in the art, and generally is an empirical calculation dependent upon probe length, washing temperature, and salt concentration. In general, longer probes require higher temperatures for proper annealing, while shorter probes need lower 25 temperatures. Hybridization generally depends on the ability of denatured DNA to reanneal when complementary strands are present in an environment below their melting temperature. The higher the degree of desired homology between the probe and hybridizable sequence, the higher the relative temperature which can be used. As a result, it follows that higher relative temperatures would tend to make the reaction conditions more stringent, while lower temperatures less so. For additional details and explanation of stringency of 30 hybridization reactions, see Ausubel et al., Current Protocols in Molecular Biology, Wiley Interscience Publishers, (1995).

"Stringent conditions" or "high stringency conditions", as defined herein, may be identified by those that: (1) employ low ionic strength and high temperature for washing, for example 0.015 M sodium chloride/0.0015 M sodium citrate/0.1% sodium dodecyl sulfate at 50°C; (2) employ during hybridization a 35 denaturing agent, such as formamide, for example, 50% (v/v) formamide with 0.1% bovine serum albumin/0.1% Ficoll/0.1% polyvinylpyrrolidone/50mM sodium phosphate buffer at pH 6.5 with 750 mM sodium chloride, 75 mM sodium citrate at 42°C; or (3) employ 50% formamide, 5 x SSC (0.75 M NaCl, 0.075 M

include agonist or antagonist antibodies or antibody fragments, fragments or amino acid sequence variants of native PRO polypeptides, peptides, small organic molecules, etc. Methods for identifying agonists or antagonists of a PRO polypeptide may comprise contacting a PRO polypeptide with a candidate agonist or antagonist molecule and measuring a detectable change in one or more biological activities normally associated with the PRO polypeptide.

5 "Treatment" refers to both therapeutic treatment and prophylactic or preventative measures, wherein the object is to prevent or slow down (lessen) the targeted pathologic condition or disorder. Those in need of treatment include those already with the disorder as well as those prone to have the disorder or those in whom the disorder is to be prevented.

10 "Chronic" administration refers to administration of the agent(s) in a continuous mode as opposed to an acute mode, so as to maintain the initial therapeutic effect (activity) for an extended period of time. "Intermittent" administration is treatment that is not consecutively done without interruption, but rather is cyclic in nature.

15 "Mammal" for purposes of treatment refers to any animal classified as a mammal, including humans, domestic and farm animals, and zoo, sports, or pet animals, such as dogs, cats, cattle, horses, sheep, pigs, goats, rabbits, etc. Preferably, the mammal is human.

Administration "in combination with" one or more further therapeutic agents includes simultaneous (concurrent) and consecutive administration in any order.

20 "Carriers" as used herein include pharmaceutically acceptable carriers, excipients, or stabilizers which are nontoxic to the cell or mammal being exposed thereto at the dosages and concentrations employed. Often the physiologically acceptable carrier is an aqueous pH buffered solution. Examples of physiologically acceptable carriers include buffers such as phosphate, citrate, and other organic acids; antioxidants including ascorbic acid; low molecular weight (less than about 10 residues) polypeptide; proteins, such as serum albumin, gelatin, or immunoglobulins; hydrophilic polymers such as polyvinylpyrrolidone; amino acids such as glycine, glutamine, asparagine, arginine or lysine; monosaccharides, disaccharides, and other carbohydrates including glucose, mannose, or dextrans; chelating agents such as EDTA; sugar alcohols such as mannitol or sorbitol; salt-forming counterions such as sodium; and/or nonionic surfactants such as TWEEN™, polyethylene glycol (PEG), and PLURONICS™.

25 "Antibody fragments" comprise a portion of an intact antibody, preferably the antigen binding or variable region of the intact antibody. Examples of antibody fragments include Fab, Fab', F(ab')<sub>2</sub>, and Fv fragments; diabodies; linear antibodies (Zapata et al., Protein Eng. 8(10): 1057-1062 [1995]); single-chain antibody molecules; and multispecific antibodies formed from antibody fragments.

30 Papain digestion of antibodies produces two identical antigen-binding fragments, called "Fab" fragments, each with a single antigen-binding site, and a residual "Fc" fragment, a designation reflecting the ability to crystallize readily. Pepsin treatment yields an F(ab')<sub>2</sub> fragment that has two antigen-combining sites and is still capable of cross-linking antigen.

"Fv" is the minimum antibody fragment which contains a complete antigen-recognition and -binding site. This region consists of a dimer of one heavy- and one light-chain variable domain in tight, non-covalent association. It is in this configuration that the three CDRs of each variable domain interact to define an antigen-binding site on the surface of the VH-VL dimer. Collectively, the six CDRs confer antigen-binding specificity to the antibody. However, even a single variable domain (or half of an Fv comprising only three CDRs specific for an antigen) has the ability to recognize and bind antigen, although at a lower affinity than the entire binding site.

5 The Fab fragment also contains the constant domain of the light chain and the first constant domain (CH1) of the heavy chain. Fab fragments differ from Fab' fragments by the addition of a few residues at the carboxy terminus of the heavy chain CH1 domain including one or more cysteines from the antibody hinge 10 region. Fab'-SH is the designation herein for Fab' in which the cysteine residue(s) of the constant domains bear a free thiol group. F(ab')<sub>2</sub> antibody fragments originally were produced as pairs of Fab' fragments which have hinge cysteines between them. Other chemical couplings of antibody fragments are also known.

10 The "light chains" of antibodies (immunoglobulins) from any vertebrate species can be assigned to one of two clearly distinct types, called kappa and lambda, based on the amino acid sequences of their constant 15 domains.

Depending on the amino acid sequence of the constant domain of their heavy chains, immunoglobulins can be assigned to different classes. There are five major classes of immunoglobulins: IgA, IgD, IgE, IgG, and IgM, and several of these may be further divided into subclasses (isotypes), e.g., IgG1, IgG2, IgG3, IgG4, IgA, and IgA2.

20 "Single-chain Fv" or "sFv" antibody fragments comprise the VH and VL domains of antibody, wherein these domains are present in a single polypeptide chain. Preferably, the Fv polypeptide further comprises a polypeptide linker between the VH and VL domains which enables the sFv to form the desired structure for antigen binding. For a review of sFv, see Pluckthun in The Pharmacology of Monoclonal Antibodies, vol. 113, Rosenberg and Moore eds., Springer-Verlag, New York, pp. 269-315 (1994).

25 The term "diabodies" refers to small antibody fragments with two antigen-binding sites, which fragments comprise a heavy-chain variable domain (VH) connected to a light-chain variable domain (VL) in the same polypeptide chain (VH - VL). By using a linker that is too short to allow pairing between the two domains on the same chain, the domains are forced to pair with the complementary domains of another chain and create two antigen-binding sites. Diabodies are described more fully in, for example, EP 404,097; WO 93/11161; and 30 Hollinger et al., Proc. Natl. Acad. Sci. USA, 90:6444-6448 (1993).

An "isolated" antibody is one which has been identified and separated and/or recovered from a component of its natural environment. Contaminant components of its natural environment are materials which would interfere with diagnostic or therapeutic uses for the antibody, and may include enzymes, hormones, and other proteinaceous or nonproteinaceous solutes. In preferred embodiments, the antibody will be purified (1) 35 to greater than 95% by weight of antibody as determined by the Lowry method, and most preferably more than 99% by weight, (2) to a degree sufficient to obtain at least 15 residues of N-terminal or internal amino acid sequence by use of a spinning cup sequenator, or (3) to homogeneity by SDS-PAGE under reducing or

nonreducing conditions using Coomassie blue or, preferably, silver stain. Isolated antibody includes the antibody in situ within recombinant cells since at least one component of the antibody's natural environment will not be present. Ordinarily, however, isolated antibody will be prepared by at least one purification step.

The word "label" when used herein refers to a detectable compound or composition which is conjugated directly or indirectly to the antibody so as to generate a "labeled" antibody. The label may be detectable by itself 5 (e.g. radioisotope labels or fluorescent labels) or, in the case of an enzymatic label, may catalyze chemical alteration of a substrate compound or composition which is detectable.

By "solid phase" is meant a non-aqueous matrix to which the antibody of the present invention can adhere. Examples of solid phases encompassed herein include those formed partially or entirely of glass (e.g., controlled pore glass), polysaccharides (e.g., agarose), polyacrylamides, polystyrene, polyvinyl alcohol and 10 silicones. In certain embodiments, depending on the context, the solid phase can comprise the well of an assay plate; in others it is a purification column (e.g., an affinity chromatography column). This term also includes a discontinuous solid phase of discrete particles, such as those described in U.S. Patent No. 4,275,149.

A "liposome" is a small vesicle composed of various types of lipids, phospholipids and/or surfactant which is useful for delivery of a drug (such as a PRO polypeptide or antibody thereto) to a mammal. The 15 components of the liposome are commonly arranged in a bilayer formation, similar to the lipid arrangement of biological membranes.

A "small molecule" is defined herein to have a molecular weight below about 500 Daltons.

## II. Compositions and Methods of the Invention

20 The present invention provides newly identified and isolated nucleotide sequences encoding polypeptides referred to in the present application as PRO polypeptides. In particular, cDNAs encoding various PRO polypeptides have been identified and isolated, as disclosed in further detail in the Examples below. It is noted that proteins produced in separate expression rounds may be given different PRO numbers but the UNQ number is unique for any given DNA and the encoded protein, and will not be changed. However, for sake of 25 simplicity, in the present specification the protein encoded by the full length native nucleic acid molecules disclosed herein as well as all further native homologues and variants included in the foregoing definition of PRO, will be referred to as "PRO/number", regardless of their origin or mode of preparation.

As disclosed in the Examples below, various cDNA clones have been deposited with the ATCC. The actual nucleotide sequences of those clones can readily be determined by the skilled artisan by sequencing of the 30 deposited clone using routine methods in the art. The predicted amino acid sequence can be determined from the nucleotide sequence using routine skill. For the PRO polypeptides and encoding nucleic acids described herein, Applicants have identified what is believed to be the reading frame best identifiable with the sequence information available at the time.

### 35 1. Full-length PRO281 Polypeptides

The present invention provides newly identified and isolated nucleotide sequences encoding polypeptides referred to in the present application as PRO281 (UNQ244). In particular, cDNA encoding a PRO281

Another means of increasing the number of carbohydrate moieties on the PRO polypeptide is by chemical or enzymatic coupling of glycosides to the polypeptide. Such methods are described in the art, e.g., in WO 87/05330 published 11 September 1987, and in Aplin and Wriston, CRC Crit. Rev. Biochem., pp. 259-306 (1981).

5 Removal of carbohydrate moieties present on the PRO polypeptide may be accomplished chemically or enzymatically or by mutational substitution of codons encoding for amino acid residues that serve as targets for glycosylation. Chemical deglycosylation techniques are known in the art and described, for instance, by Hakimuddin, et al., Arch. Biochem. Biophys., 259:52 (1987) and by Edge et al., Anal. Biochem., 118:131 (1981). Enzymatic cleavage of carbohydrate moieties on polypeptides can be achieved by the use of a variety of endo- and exo-glycosidases as described by Thotakura et al., Meth. Enzymol., 138:350 (1987).

10 Another type of covalent modification of PRO comprises linking the PRO polypeptide to one of a variety of nonproteinaceous polymers, e.g., polyethylene glycol (PEG), polypropylene glycol, or polyoxyalkylenes, in the manner set forth in U.S. Patent Nos. 4,640,835; 4,496,689; 4,301,144; 4,670,417; 4,791,192 or 4,179,337.

The PRO of the present invention may also be modified in a way to form a chimeric molecule comprising PRO fused to another, heterologous polypeptide or amino acid sequence.

15 In one embodiment, such a chimeric molecule comprises a fusion of the PRO with a tag polypeptide which provides an epitope to which an anti-tag antibody can selectively bind. The epitope tag is generally placed at the amino- or carboxyl- terminus of the PRO. The presence of such epitope-tagged forms of the PRO can be detected using an antibody against the tag polypeptide. Also, provision of the epitope tag enables the PRO to be readily purified by affinity purification using an anti-tag antibody or another type of affinity matrix that binds 20 to the epitope tag. Various tag polypeptides and their respective antibodies are well known in the art. Examples include poly-histidine (poly-his) or poly-histidine-glycine (poly-his-gly) tags; the flu HA tag polypeptide and its antibody 12CA5 [Field et al., Mol. Cell. Biol., 8:2159-2165 (1988)]; the c-myc tag and the 8F9, 3C7, 6E10, G4, B7 and 9E10 antibodies thereto [Evan et al., Molecular and Cellular Biology, 5:3610-3616 (1985)]; and the Herpes Simplex virus glycoprotein D (gD) tag and its antibody [Paborsky et al., Protein Engineering, 3(6):547-25 553 (1990)]. Other tag polypeptides include the Flag-peptide [Hopp et al., BioTechnology, 6:1204-1210 (1988)]; the KT3 epitope peptide [Martin et al., Science, 255:192-194 (1992)]; an  $\alpha$ -tubulin epitope peptide [Skinner et al., J. Biol. Chem., 266:15163-15166 (1991)]; and the T7 gene 10 protein peptide tag [Lutz-Freyermuth et al., Proc. Natl. Acad. Sci. USA, 87:6393-6397 (1990)].

30 In an alternative embodiment, the chimeric molecule may comprise a fusion of the PRO with an immunoglobulin or a particular region of an immunoglobulin. For a bivalent form of the chimeric molecule (also referred to as an "immunoadhesin"), such a fusion could be to the Fc region of an IgG molecule. The Ig fusions preferably include the substitution of a soluble (transmembrane domain deleted or inactivated) form of a PRO polypeptide in place of at least one variable region within an Ig molecule. In a particularly preferred embodiment, the immunoglobulin fusion includes the hinge, CH2 and CH3, or the hinge, CH1, CH2 and CH3 35 regions of an IgG1 molecule. For the production of immunoglobulin fusions see also US Patent No. 5,428,130 issued June 27, 1995.

D. Preparation of PRO

The description below relates primarily to production of PRO by culturing cells transformed or transfected with a vector containing PRO nucleic acid. It is, of course, contemplated that alternative methods, which are well known in the art, may be employed to prepare PRO. For instance, the PRO sequence, or portions thereof, may be produced by direct peptide synthesis using solid-phase techniques [see, e.g., Stewart 5 et al., Solid-Phase Peptide Synthesis, W.H. Freeman Co., San Francisco, CA (1969); Merrifield, J. Am. Chem. Soc., 85:2149-2154 (1963)]. *In vitro* protein synthesis may be performed using manual techniques or by automation. Automated synthesis may be accomplished, for instance, using an Applied Biosystems Peptide Synthesizer (Foster City, CA) using manufacturer's instructions. Various portions of the PRO may be chemically synthesized separately and combined using chemical or enzymatic methods to produce the full-length 10 PRO.

1. Isolation of DNA Encoding PRO

DNA encoding PRO may be obtained from a cDNA library prepared from tissue believed to possess the PRO mRNA and to express it at a detectable level. Accordingly, human PRO DNA can be conveniently 15 obtained from a cDNA library prepared from human tissue, such as described in the Examples. The PRO-encoding gene may also be obtained from a genomic library or by known synthetic procedures (e.g., automated nucleic acid synthesis).

Libraries can be screened with probes (such as antibodies to the PRO or oligonucleotides of at least about 20-80 bases) designed to identify the gene of interest or the protein encoded by it. Screening the cDNA 20 or genomic library with the selected probe may be conducted using standard procedures, such as described in Sambrook et al., Molecular Cloning: A Laboratory Manual (New York: Cold Spring Harbor Laboratory Press, 1989). An alternative means to isolate the gene encoding PRO is to use PCR methodology [Sambrook et al., supra; Dieffenbach et al., PCR Primer: A Laboratory Manual (Cold Spring Harbor Laboratory Press, 1995)].

The Examples below describe techniques for screening a cDNA library. The oligonucleotide sequences 25 selected as probes should be of sufficient length and sufficiently unambiguous that false positives are minimized. The oligonucleotide is preferably labeled such that it can be detected upon hybridization to DNA in the library being screened. Methods of labeling are well known in the art, and include the use of radiolabels like <sup>32</sup>P-labeled ATP, biotinylation or enzyme labeling. Hybridization conditions, including moderate stringency and high stringency, are provided in Sambrook et al., supra.

30 Sequences identified in such library screening methods can be compared and aligned to other known sequences deposited and available in public databases such as GenBank or other private sequence databases. Sequence identity (at either the amino acid or nucleotide level) within defined regions of the molecule or across the full-length sequence can be determined using methods known in the art and as described herein.

Nucleic acid having protein coding sequence may be obtained by screening selected cDNA or genomic 35 libraries using the deduced amino acid sequence disclosed herein for the first time, and, if necessary, using conventional primer extension procedures as described in Sambrook et al., supra, to detect precursors and processing intermediates of mRNA that may not have been reverse-transcribed into cDNA.

## 2. Selection and Transformation of Host Cells

Host cells are transfected or transformed with expression or cloning vectors described herein for PRO production and cultured in conventional nutrient media modified as appropriate for inducing promoters, selecting transformants, or amplifying the genes encoding the desired sequences. The culture conditions, such as media, temperature, pH and the like, can be selected by the skilled artisan without undue experimentation. In general, 5 principles, protocols, and practical techniques for maximizing the productivity of cell cultures can be found in Mammalian Cell Biotechnology: a Practical Approach, M. Butler, ed. (IRL Press, 1991) and Sambrook et al., supra.

Methods of eukaryotic cell transfection and prokaryotic cell transformation are known to the ordinarily skilled artisan, for example,  $\text{CaCl}_2$ ,  $\text{CaPO}_4$ , liposome-mediated and electroporation. Depending on the host cell 10 used, transformation is performed using standard techniques appropriate to such cells. The calcium treatment employing calcium chloride, as described in Sambrook et al., supra, or electroporation is generally used for prokaryotes. Infection with *Agrobacterium tumefaciens* is used for transformation of certain plant cells, as described by Shaw et al., Gene, 23:315 (1983) and WO 89/05859 published 29 June 1989. For mammalian cells without such cell walls, the calcium phosphate precipitation method of Graham and van der Eb, Virology, 15 52:456-457 (1978) can be employed. General aspects of mammalian cell host system transfections have been described in U.S. Patent No. 4,399,216. Transformations into yeast are typically carried out according to the method of Van Solingen et al., J. Bact., 130:946 (1977) and Hsiao et al., Proc. Natl. Acad. Sci. (USA), 76:3829 (1979). However, other methods for introducing DNA into cells, such as by nuclear microinjection, 20 electroporation, bacterial protoplast fusion with intact cells, or polycations, e.g., polybrene, polyornithine, may also be used. For various techniques for transforming mammalian cells, see Keown et al., Methods in Enzymology, 185:527-537 (1990) and Mansour et al., Nature, 336:348-352 (1988).

Suitable host cells for cloning or expressing the DNA in the vectors herein include prokaryote, yeast, or higher eukaryote cells. Suitable prokaryotes include but are not limited to eubacteria, such as Gram-negative or Gram-positive organisms, for example, Enterobacteriaceae such as *E. coli*. Various *E. coli* strains are 25 publicly available, such as *E. coli* K12 strain MM294 (ATCC 31,446); *E. coli* X1776 (ATCC 31,537); *E. coli* strain W3110 (ATCC 27,325) and K5 772 (ATCC 53,635). Other suitable prokaryotic host cells include Enterobacteriaceae such as *Escherichia*, e.g., *E. coli*, *Enterobacter*, *Erwinia*, *Klebsiella*, *Proteus*, *Salmonella*, e.g., *Salmonella typhimurium*, *Serratia*, e.g., *Serratia marcescens*, and *Shigella*, as well as *Bacilli* such as *B. subtilis* and *B. licheniformis* (e.g., *B. licheniformis* 41P disclosed in DD 266,710 published 12 April 1989), 30 *Pseudomonas* such as *P. aeruginosa*, and *Streptomyces*. These examples are illustrative rather than limiting. Strain W3110 is one particularly preferred host or parent host because it is a common host strain for recombinant DNA product fermentations. Preferably, the host cell secretes minimal amounts of proteolytic enzymes. For example, strain W3110 may be modified to effect a genetic mutation in the genes encoding proteins endogenous to the host, with examples of such hosts including *E. coli* W3110 strain 1A2, which has the complete genotype 35 *tonA*; *E. coli* W3110 strain 9E4, which has the complete genotype *tonA ptr3*; *E. coli* W3110 strain 27C7 (ATCC 55,244), which has the complete genotype *tonA ptr3 phoA E15 (argF-lac)169 degP ompT kan'*; *E. coli* W3110 strain 37D6, which has the complete genotype *tonA ptr3 phoA E15 (argF-lac)169 degP ompT rbs7*

*ilvG kan'*; *E. coli* W3110 strain 40B4, which is strain 37D6 with a non-kanamycin resistant *degP* deletion mutation; and an *E. coli* strain having mutant periplasmic protease disclosed in U.S. Patent No. 4,946,783 issued 7 August 1990. Alternatively, *in vitro* methods of cloning, e.g., PCR or other nucleic acid polymerase reactions, are suitable.

In addition to prokaryotes, eukaryotic microbes such as filamentous fungi or yeast are suitable cloning 5 or expression hosts for PRO-encoding vectors. *Saccharomyces cerevisiae* is a commonly used lower eukaryotic host microorganism. Others include *Schizosaccharomyces pombe* (Beach and Nurse, *Nature*, 290: 140 [1981]; EP 139,383 published 2 May 1985); *Kluyveromyces* hosts (U.S. Patent No. 4,943,529; Fleer et al., *Bio/Technology*, 9:968-975 (1991)) such as, e.g., *K. lactis* (MW98-8C, CBS683, CBS4574; Louvencourt et al., *J. Bacteriol.*, 737 [1983]), *K. fragilis* (ATCC 12,424), *K. bulgaricus* (ATCC 16,045), *K. wickeramii* (ATCC 10 24,178), *K. waltii* (ATCC 56,500), *K. drosophilicola* (ATCC 36,906; Van den Berg et al., *Bio/Technology*, 8:135 (1990)), *K. thermotolerans*, and *K. marxianus*; *Yarrowia* (EP 402,226); *Pichia pastoris* (EP 183,070; Sreekrishna et al., *J. Basic Microbiol.*, 28:265-278 [1988]); *Candida*; *Trichoderma reesiae* (EP 244,234); *Neurospora crassa* (Case et al., *Proc. Natl. Acad. Sci. USA*, 76:5259-5263 [1979]); *Schwanniomyces* such as *Schwanniomyces occidentalis* (EP 394,538 published 31 October 1990); and filamentous fungi such as, e.g., 15 *Neurospora*, *Penicillium*, *Tolypocladium* (WO 91/00357 published 10 January 1991), and *Aspergillus* hosts such as *A. nidulans* (Ballance et al., *Biochem. Biophys. Res. Commun.*, 112:284-289 [1983]; Tilburn et al., *Gene*, 26:205-221 [1983]; Yelton et al., *Proc. Natl. Acad. Sci. USA*, 81: 1470-1474 [1984]) and *A. niger* (Kelly and Hynes, *EMBO J.*, 4:475-479 [1985]). Methylotropic yeasts are suitable herein and include, but are not limited to, yeast capable of growth on methanol selected from the genera consisting of *Hansenula*, *Candida*, *Kloeckera*, 20 *Pichia*, *Saccharomyces*, *Torulopsis*, and *Rhodotorula*. A list of specific species that are exemplary of this class of yeasts may be found in C. Anthony, *The Biochemistry of Methylotrophs*, 269 (1982).

Suitable host cells for the expression of glycosylated PRO are derived from multicellular organisms. Examples of invertebrate cells include insect cells such as *Drosophila S2* and *Spodoptera Sf9*, as well as plant cells. Examples of useful mammalian host cell lines include Chinese hamster ovary (CHO) and COS cells. 25 More specific examples include monkey kidney CV1 line transformed by SV40 (COS-7, ATCC CRL 1651); human embryonic kidney line (293 or 293 cells subcloned for growth in suspension culture, Graham et al., *J. Gen Virol.*, 36:59 (1977)); Chinese hamster ovary cells/-DHFR (CHO, Urlaub and Chasin, *Proc. Natl. Acad. Sci. USA*, 77:4216 (1980)); mouse sertoli cells (TM4, Mather, *Biol. Reprod.*, 23:243-251 (1980)); human lung cells (W138, ATCC CCL 75); human liver cells (Hep G2, HB 8065); and mouse mammary tumor (MMT 30 060562, ATCC CCL51). The selection of the appropriate host cell is deemed to be within the skill in the art.

### 3. Selection and Use of a Replicable Vector

The nucleic acid (e.g., cDNA or genomic DNA) encoding PRO may be inserted into a replicable vector for cloning (amplification of the DNA) or for expression. Various vectors are publicly available. The vector 35 may, for example, be in the form of a plasmid, cosmid, viral particle, or phage. The appropriate nucleic acid sequence may be inserted into the vector by a variety of procedures. In general, DNA is inserted into an appropriate restriction endonuclease site(s) using techniques known in the art. Vector components generally

include, but are not limited to, one or more of a signal sequence, an origin of replication, one or more marker genes, an enhancer element, a promoter, and a transcription termination sequence. Construction of suitable vectors containing one or more of these components employs standard ligation techniques which are known to the skilled artisan.

The PRO may be produced recombinantly not only directly, but also as a fusion polypeptide with a heterologous polypeptide, which may be a signal sequence or other polypeptide having a specific cleavage site at the N-terminus of the mature protein or polypeptide. In general, the signal sequence may be a component of the vector, or it may be a part of the PRO-encoding DNA that is inserted into the vector. The signal sequence may be a prokaryotic signal sequence selected, for example, from the group of the alkaline phosphatase, penicillinase, lpp, or heat-stable enterotoxin II leaders. For yeast secretion the signal sequence may be, e.g., the yeast invertase leader, alpha factor leader (including *Saccharomyces* and *Kluyveromyces*  $\alpha$ -factor leaders, the latter described in U.S. Patent No. 5,010,182), or acid phosphatase leader, the *C. albicans* glucoamylase leader (EP 362,179 published 4 April 1990), or the signal described in WO 90/13646 published 15 November 1990. In mammalian cell expression, mammalian signal sequences may be used to direct secretion of the protein, such as signal sequences from secreted polypeptides of the same or related species, as well as viral secretory leaders.

Both expression and cloning vectors contain a nucleic acid sequence that enables the vector to replicate in one or more selected host cells. Such sequences are well known for a variety of bacteria, yeast, and viruses. The origin of replication from the plasmid pBR322 is suitable for most Gram-negative bacteria, the  $2\mu$  plasmid origin is suitable for yeast, and various viral origins (SV40, polyoma, adenovirus, VSV or BPV) are useful for cloning vectors in mammalian cells.

Expression and cloning vectors will typically contain a selection gene, also termed a selectable marker. Typical selection genes encode proteins that (a) confer resistance to antibiotics or other toxins, e.g., ampicillin, neomycin, methotrexate, or tetracycline, (b) complement auxotrophic deficiencies, or (c) supply critical nutrients not available from complex media, e.g., the gene encoding D-alanine racemase for *Bacilli*.

An example of suitable selectable markers for mammalian cells are those that enable the identification of cells competent to take up the PRO-encoding nucleic acid, such as DHFR or thymidine kinase. An appropriate host cell when wild-type DHFR is employed is the CHO cell line deficient in DHFR activity, prepared and propagated as described by Urlaub et al., *Proc. Natl. Acad. Sci. USA*, 77:4216 (1980). A suitable selection gene for use in yeast is the *trp1* gene present in the yeast plasmid YRp7 [Stinchcomb et al., *Nature*, 282:39 (1979); Kingsman et al., *Gene*, 7:141 (1979); Tschemper et al., *Gene*, 10:157 (1980)]. The *trp1* gene provides a selection marker for a mutant strain of yeast lacking the ability to grow in tryptophan, for example, ATCC No. 44076 or PEP4-1 [Jones, *Genetics*, 85:12 (1977)].

Expression and cloning vectors usually contain a promoter operably linked to the PRO-encoding nucleic acid sequence to direct mRNA synthesis. Promoters recognized by a variety of potential host cells are well known. Promoters suitable for use with prokaryotic hosts include the  $\beta$ -lactamase and lactose promoter systems [Chang et al., *Nature*, 275:615 (1978); Goeddel et al., *Nature*, 281:544 (1979)], alkaline phosphatase, a tryptophan (*trp*) promoter system [Goeddel, *Nucleic Acids Res.*, 8:4057 (1980); EP 36,776], and hybrid

promoters such as the tac promoter [deBoer et al., Proc. Natl. Acad. Sci. USA, 80:21-25 (1983)]. Promoters for use in bacterial systems also will contain a Shine-Dalgarno (S.D.) sequence operably linked to the DNA encoding PRO.

Examples of suitable promoting sequences for use with yeast hosts include the promoters for 3-phosphoglycerate kinase [Hitzeman et al., J. Biol. Chem., 255:2073 (1980)] or other glycolytic enzymes [Hess et al., J. Adv. Enzyme Reg., 7:149 (1968); Holland, Biochemistry, 17:4900 (1978)], such as enolase, glyceraldehyde-3-phosphate dehydrogenase, hexokinase, pyruvate decarboxylase, phosphofructokinase, glucose-6-phosphate isomerase, 3-phosphoglycerate mutase, pyruvate kinase, triosephosphateisomerase, phosphoglucose isomerase, and glucokinase.

Other yeast promoters, which are inducible promoters having the additional advantage of transcription controlled by growth conditions, are the promoter regions for alcohol dehydrogenase 2, isocytochrome C, acid phosphatase, degradative enzymes associated with nitrogen metabolism, metallothionein, glyceraldehyde-3-phosphate dehydrogenase, and enzymes responsible for maltose and galactose utilization. Suitable vectors and promoters for use in yeast expression are further described in EP 73,657.

PRO transcription from vectors in mammalian host cells is controlled, for example, by promoters obtained from the genomes of viruses such as polyoma virus, fowlpox virus (UK 2,211,504 published 5 July 1989), adenovirus (such as Adenovirus 2), bovine papilloma virus, avian sarcoma virus, cytomegalovirus, a retrovirus, hepatitis-B virus and Simian Virus 40 (SV40), from heterologous mammalian promoters, e.g., the actin promoter or an immunoglobulin promoter, and from heat-shock promoters, provided such promoters are compatible with the host cell systems.

Transcription of a DNA encoding the PRO by higher eukaryotes may be increased by inserting an enhancer sequence into the vector. Enhancers are cis-acting elements of DNA, usually about from 10 to 300 bp, that act on a promoter to increase its transcription. Many enhancer sequences are now known from mammalian genes (globin, elastase, albumin,  $\alpha$ -fetoprotein, and insulin). Typically, however, one will use an enhancer from a eukaryotic cell virus. Examples include the SV40 enhancer on the late side of the replication origin (bp 100-270), the cytomegalovirus early promoter enhancer, the polyoma enhancer on the late side of the replication origin, and adenovirus enhancers. The enhancer may be spliced into the vector at a position 5' or 3' to the PRO coding sequence, but is preferably located at a site 5' from the promoter.

Expression vectors used in eukaryotic host cells (yeast, fungi, insect, plant, animal, human, or nucleated cells from other multicellular organisms) will also contain sequences necessary for the termination of transcription and for stabilizing the mRNA. Such sequences are commonly available from the 5' and, occasionally 3', untranslated regions of eukaryotic or viral DNAs or cDNAs. These regions contain nucleotide segments transcribed as polyadenylated fragments in the untranslated portion of the mRNA encoding PRO.

Still other methods, vectors, and host cells suitable for adaptation to the synthesis of PRO in recombinant vertebrate cell culture are described in Gething et al., Nature, 293:620-625 (1981); Mantei et al., Nature, 281:40-46 (1979); EP 117,060; and EP 117,058.

Ribozymes are enzymatic RNA molecules capable of catalyzing the specific cleavage of RNA. Ribozymes act by sequence-specific hybridization to the complementary target RNA, followed by endonucleolytic cleavage. Specific ribozyme cleavage sites within a potential RNA target can be identified by known techniques. For further details see, e.g., Rossi, *Current Biology*, 4:469-471 (1994), and PCT publication No. WO 97/33551 (published September 18, 1997).

5 Nucleic acid molecules in triple-helix formation used to inhibit transcription should be single-stranded and composed of deoxynucleotides. The base composition of these oligonucleotides is designed such that it promotes triple-helix formation via Hoogsteen base-pairing rules, which generally require sizeable stretches of purines or pyrimidines on one strand of a duplex. For further details see, e.g., PCT publication No. WO 97/33551, *supra*.

10 These small molecules can be identified by any one or more of the screening assays discussed hereinabove and/or by any other screening techniques well known for those skilled in the art.

PRO189 can be used in assays with W01A6.1 of *C. Elegans*, phosphodiesterases, transporters and proteins which bind to fatty acids, to determine the relative activities of PRO189 against these proteins. The results can be applied accordingly.

15

#### F. Anti-PRO Antibodies

The present invention further provides anti-PRO antibodies. Exemplary antibodies include polyclonal, monoclonal, humanized, bispecific, and heteroconjugate antibodies.

20

##### 1. Polyclonal Antibodies

The anti-PRO antibodies may comprise polyclonal antibodies. Methods of preparing polyclonal antibodies are known to the skilled artisan. Polyclonal antibodies can be raised in a mammal, for example, by one or more injections of an immunizing agent and, if desired, an adjuvant. Typically, the immunizing agent and/or adjuvant will be injected in the mammal by multiple subcutaneous or intraperitoneal injections. The 25 immunizing agent may include the PRO polypeptide or a fusion protein thereof. It may be useful to conjugate the immunizing agent to a protein known to be immunogenic in the mammal being immunized. Examples of such immunogenic proteins include but are not limited to keyhole limpet hemocyanin, serum albumin, bovine thyroglobulin, and soybean trypsin inhibitor. Examples of adjuvants which may be employed include Freund's complete adjuvant and MPL-TDM adjuvant (monophosphoryl Lipid A, synthetic trehalose dicorynomycolate).

30 The immunization protocol may be selected by one skilled in the art without undue experimentation.

##### 2. Monoclonal Antibodies

The anti-PRO antibodies may, alternatively, be monoclonal antibodies. Monoclonal antibodies may be prepared using hybridoma methods, such as those described by Kohler and Milstein, *Nature*, 256:495 (1975).

35 In a hybridoma method, a mouse, hamster, or other appropriate host animal, is typically immunized with an immunizing agent to elicit lymphocytes that produce or are capable of producing antibodies that will specifically bind to the immunizing agent. Alternatively, the lymphocytes may be immunized *in vitro*.

The immunizing agent will typically include the PRO polypeptide or a fusion protein thereof. Generally, either peripheral blood lymphocytes ("PBLs") are used if cells of human origin are desired, or spleen cells or lymph node cells are used if non-human mammalian sources are desired. The lymphocytes are then fused with an immortalized cell line using a suitable fusing agent, such as polyethylene glycol, to form a hybridoma cell [Goding, Monoclonal Antibodies: Principles and Practice, Academic Press, (1986) pp. 59-103].

5 Immortalized cell lines are usually transformed mammalian cells, particularly myeloma cells of rodent, bovine and human origin. Usually, rat or mouse myeloma cell lines are employed. The hybridoma cells may be cultured in a suitable culture medium that preferably contains one or more substances that inhibit the growth or survival of the unfused, immortalized cells. For example, if the parental cells lack the enzyme hypoxanthine guanine phosphoribosyl transferase (HGPRT or HPRT), the culture medium for the hybridomas typically will 10 include hypoxanthine, aminopterin, and thymidine ("HAT medium"), which substances prevent the growth of HGPRT-deficient cells.

Preferred immortalized cell lines are those that fuse efficiently, support stable high level expression of antibody by the selected antibody-producing cells, and are sensitive to a medium such as HAT medium. More preferred immortalized cell lines are murine myeloma lines, which can be obtained, for instance, from the Salk 15 Institute Cell Distribution Center, San Diego, California and the American Type Culture Collection, Manassas, Virginia. Human myeloma and mouse-human heteromyeloma cell lines also have been described for the production of human monoclonal antibodies [Kozbor, J. Immunol., 133:3001 (1984); Brodeur et al., Monoclonal Antibody Production Techniques and Applications, Marcel Dekker, Inc., New York, (1987) pp. 51-63].

The culture medium in which the hybridoma cells are cultured can then be assayed for the presence of 20 monoclonal antibodies directed against PRO. Preferably, the binding specificity of monoclonal antibodies produced by the hybridoma cells is determined by immunoprecipitation or by an *in vitro* binding assay, such as radioimmunoassay (RIA) or enzyme-linked immunoabsorbent assay (ELISA). Such techniques and assays are known in the art. The binding affinity of the monoclonal antibody can, for example, be determined by the Scatchard analysis of Munson and Pollard, Anal. Biochem., 107:220 (1980).

25 After the desired hybridoma cells are identified, the clones may be subcloned by limiting dilution procedures and grown by standard methods [Goding, supra]. Suitable culture media for this purpose include, for example, Dulbecco's Modified Eagle's Medium and RPMI-1640 medium. Alternatively, the hybridoma cells may be grown *in vivo* as ascites in a mammal.

The monoclonal antibodies secreted by the subclones may be isolated or purified from the culture 30 medium or ascites fluid by conventional immunoglobulin purification procedures such as, for example, protein A-Sepharose, hydroxylapatite chromatography, gel electrophoresis, dialysis, or affinity chromatography.

The monoclonal antibodies may also be made by recombinant DNA methods, such as those described in U.S. Patent No. 4,816,567. DNA encoding the monoclonal antibodies of the invention can be readily isolated and sequenced using conventional procedures (e.g., by using oligonucleotide probes that are capable of binding 35 specifically to genes encoding the heavy and light chains of murine antibodies). The hybridoma cells of the invention serve as a preferred source of such DNA. Once isolated, the DNA may be placed into expression vectors, which are then transfected into host cells such as simian COS cells, Chinese hamster ovary (CHO) cells,

or myeloma cells that do not otherwise produce immunoglobulin protein, to obtain the synthesis of monoclonal antibodies in the recombinant host cells. The DNA also may be modified, for example, by substituting the coding sequence for human heavy and light chain constant domains in place of the homologous murine sequences [U.S. Patent No. 4,816,567; Morrison et al., *supra*] or by covalently joining to the immunoglobulin coding sequence all or part of the coding sequence for a non-immunoglobulin polypeptide. Such a non-immunoglobulin polypeptide can be substituted for the constant domains of an antibody of the invention, or can be substituted for the variable domains of one antigen-combining site of an antibody of the invention to create a chimeric bivalent antibody.

The antibodies may be monovalent antibodies. Methods for preparing monovalent antibodies are well known in the art. For example, one method involves recombinant expression of immunoglobulin light chain and modified heavy chain. The heavy chain is truncated generally at any point in the Fc region so as to prevent heavy chain crosslinking. Alternatively, the relevant cysteine residues are substituted with another amino acid residue or are deleted so as to prevent crosslinking.

*In vitro* methods are also suitable for preparing monovalent antibodies. Digestion of antibodies to produce fragments thereof, particularly, Fab fragments, can be accomplished using routine techniques known in the art.

### 3. Human and Humanized Antibodies

The anti-PRO antibodies of the invention may further comprise humanized antibodies or human antibodies. Humanized forms of non-human (e.g., murine) antibodies are chimeric immunoglobulins, immunoglobulin chains or fragments thereof (such as Fv, Fab, Fab', F(ab')<sub>2</sub> or other antigen-binding subsequences of antibodies) which contain minimal sequence derived from non-human immunoglobulin. Humanized antibodies include human immunoglobulins (recipient antibody) in which residues from a complementary determining region (CDR) of the recipient are replaced by residues from a CDR of a non-human species (donor antibody) such as mouse, rat or rabbit having the desired specificity, affinity and capacity. In some instances, Fv framework residues of the human immunoglobulin are replaced by corresponding non-human residues. Humanized antibodies may also comprise residues which are found neither in the recipient antibody nor in the imported CDR or framework sequences. In general, the humanized antibody will comprise substantially all of at least one, and typically two, variable domains, in which all or substantially all of the CDR regions correspond to those of a non-human immunoglobulin and all or substantially all of the FR regions are those of a human immunoglobulin consensus sequence. The humanized antibody optimally also will comprise at least a portion of an immunoglobulin constant region (Fc), typically that of a human immunoglobulin [Jones et al., *Nature*, 321:522-525 (1986); Riechmann et al., *Nature*, 332:323-329 (1988); and Presta, *Curr. Op. Struct. Biol.*, 2:593-596 (1992)].

Methods for humanizing non-human antibodies are well known in the art. Generally, a humanized antibody has one or more amino acid residues introduced into it from a source which is non-human. These non-human amino acid residues are often referred to as "import" residues, which are typically taken from an "import" variable domain. Humanization can be essentially performed following the method of Winter and co-workers

[Jones et al., Nature, 321:522-525 (1986); Riechmann et al., Nature, 332:323-327 (1988); Verhoeyen et al., Science, 239:1534-1536 (1988)], by substituting rodent CDRs or CDR sequences for the corresponding sequences of a human antibody. Accordingly, such "humanized" antibodies are chimeric antibodies (U.S. Patent No. 4,816,567), wherein substantially less than an intact human variable domain has been substituted by the corresponding sequence from a non-human species. In practice, humanized antibodies are typically human 5 antibodies in which some CDR residues and possibly some FR residues are substituted by residues from analogous sites in rodent antibodies.

Human antibodies can also be produced using various techniques known in the art, including phage display libraries [Hoogenboom and Winter, J. Mol. Biol., 227:381 (1991); Marks et al., J. Mol. Biol., 222:581 (1991)]. The techniques of Cole et al. and Boerner et al. are also available for the preparation of human 10 monoclonal antibodies (Cole et al., Monoclonal Antibodies and Cancer Therapy, Alan R. Liss, p. 77 (1985) and Boerner et al., J. Immunol., 147(1):86-95 (1991)). Similarly, human antibodies can be made by introducing of human immunoglobulin loci into transgenic animals, e.g., mice in which the endogenous immunoglobulin genes have been partially or completely inactivated. Upon challenge, human antibody production is observed, which closely resembles that seen in humans in all respects, including gene rearrangement, assembly, and 15 antibody repertoire. This approach is described, for example, in U.S. Patent Nos. 5,545,807; 5,545,806; 5,569,825; 5,625,126; 5,633,425; 5,661,016, and in the following scientific publications: Marks et al., Bio/Technology 10, 779-783 (1992); Lonberg et al., Nature 368 856-859 (1994); Morrison, Nature 368, 812-13 (1994); Fishwild et al., Nature Biotechnology 14, 845-51 (1996); Neuberger, Nature Biotechnology 14, 826 (1996); Lonberg and Huszar, Intern. Rev. Immunol. 13 65-93 (1995).

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#### 4. Bispecific Antibodies

Bispecific antibodies are monoclonal, preferably human or humanized, antibodies that have binding specificities for at least two different antigens. In the present case, one of the binding specificities is for the PRO, the other one is for any other antigen, and preferably for a cell-surface protein or receptor or receptor 25 subunit.

Methods for making bispecific antibodies are known in the art. Traditionally, the recombinant production of bispecific antibodies is based on the co-expression of two immunoglobulin heavy-chain/light-chain pairs, where the two heavy chains have different specificities [Milstein and Cuello, Nature, 305:537-539 (1983)]. Because of the random assortment of immunoglobulin heavy and light chains, these hybridomas (quadromas) 30 produce a potential mixture of ten different antibody molecules, of which only one has the correct bispecific structure. The purification of the correct molecule is usually accomplished by affinity chromatography steps. Similar procedures are disclosed in WO 93/08829, published 13 May 1993, and in Traunecker et al., EMBO J., 10:3655-3659 (1991).

Antibody variable domains with the desired binding specificities (antibody-antigen combining sites) can 35 be fused to immunoglobulin constant domain sequences. The fusion preferably is with an immunoglobulin heavy-chain constant domain, comprising at least part of the hinge, CH2, and CH3 regions. It is preferred to have the first heavy-chain constant region (CH1) containing the site necessary for light-chain binding present in

SEA ID NO: 326

## Sequence Comparison

ID AAY66729 standard; protein; 775 AA.  
XX  
AC AAY66729;  
XX  
DT 05-APR-2000 (first entry)  
XX  
DE Membrane-bound protein PRO1281.  
XX  
KW Membrane-bound polypeptide; PRO polypeptide; LDL receptor; TIE ligand;  
KW pharmaceutical; receptor immunoadhesin; gene mapping.  
XX  
OS Homo sapiens.  
XX  
PN WO9963088-A2.  
XX  
PD 09-DEC-1999.  
XX  
PF 02-JUN-1999; 99WO-US12252.  
XX  
PR 02-JUN-1998; 98US-0087607.  
XX  
PA (GETH ) GENENTECH INC.  
XX  
PI Baker K, Chen J, Goddard A, Gurney AL, Smith V, Watanabe CK;  
PI Wood WI, Yuan J;  
XX  
DR WPI; 2000-072883/06.  
DR N-PSDB; AAZ65074.  
XX  
PT Membrane-bound proteins and related nucleotide sequences  
XX  
PS claim 12; Fig 233; 822pp; English.  
XX  
CC The invention provides membrane-bound PRO polypeptides and  
CC polynucleotides encoding them. The PRO sequences of the invention were  
CC identified based on extracellular domain homology screening. The PRO  
CC sequences have homology with proteins including LDL receptors, TIE  
CC ligands and various enzymes. The membrane-bound proteins and receptor  
CC molecules are useful as pharmaceutical and diagnostic agents. Receptor  
CC immunoadhesins, for instance, can be used as therapeutic agents to block  
CC receptor-ligand interactions. The membrane-bound proteins can also be  
CC employed for screening of potential peptide or small molecule inhibitor  
CC of the relevant receptor/ligand interaction. The PRO encoding sequences  
CC are useful as hybridization probes, in chromosome and gene mapping and  
CC the generation of antisense RNA and DNA. PRO nucleic acid sequences  
CC will also be useful for the preparation of PRO polypeptides, especially  
CC by recombinant techniques.  
X  
Q Sequence 775 AA.

Qy 121 VAVLTSQTTLPTLGVAVNRTLGHRLERVVFLTGARGRRAPPGMAVVTLGEERPIGHLHLA 180  
Db |||||||  
Qy 121 VAVLTSQTTLPTLGVAVNRTLGHRLERVVFLTGARGRRAPPGMAVVTLGEERPIGHLHLA 180  
Db |||||||  
Qy 181 LRHLLEQHGDDFDWFFLVPDTTYTEAHLARLTGHLSLASAHHLYLGRPQDFIGGEPTPG 240  
Db |||||||  
Qy 181 LRHLLEQHGDDFDWFFLVPDTTYTEAHLARLTGHLSLASAHHLYLGRPQDFIGGEPTPG 240  
Db |||||||  
Qy 241 RYCHGGFGVLLSRMLLQQLRPHLEGCRNDIVSARPDEWLGRCLLDATGVGCTGDHEGVHY 300  
Db |||||||  
Qy 241 RYCHGGFGVLLSRMLLQQLRPHLEGCRNDIVSARPDEWLGRCLLDATGVGCTGDHEGVHY 300  
Db |||||||  
Qy 301 SHLELSPGEPVQEGDPHFRSALTAHPVRDPVHMYQLHKAFAKARAEERTYQEIQELQWEIQ 360  
Db |||||||  
Qy 301 SHLELSPGEPVQEGDPHFRSALTAHPVRDPVHMYQLHKAFAKARAEERTYQEIQELQWEIQ 360  
Db |||||||  
Qy 361 NTSHLAVDGDRAAAWPGIPAPSRRPASRFEVLRWDYFTEQHAFSCADGSPRCPLRGADRA 420  
Db |||||||  
Qy 421 DVADVLGTALEELNRRYHPALRLQQQLVNGYRRFDPARGMEYTLQLEALTPQGGRP 480  
Db |||||||  
Qy 421 DVADVLGTALEELNRRYHPALRLQQQLVNGYRRFDPARGMEYTLQLEALTPQGGRP 480  
Db |||||||  
Qy 481 LTRRVQLLRPLSRVEILPVYVTEASRLTVLLPLAAAERDLAPGFLEAFATAALEPGDAA 540  
Db |||||||  
Qy 481 LTRRVQLLRPLSRVEILPVYVTEASRLTVLLPLAAAERDLAPGFLEAFATAALEPGDAA 540  
Db |||||||  
Qy 541 AALTLRLYEPRQAQRVAHADVFPKAHVAELERRFPGARVPWLSVQTAAPSPLRLMDL 600  
Db |||||||  
Qy 541 AALTLRLYEPRQAQRVAHADVFPKAHVAELERRFPGARVPWLSVQTAAPSPLRLMDL 600  
Db |||||||  
Qy 601 LSKKHPLDTLFLLAGPDTVLTPDFLNRCRMHAIISGWQAFFPMHFQAFHPGVAPPQGPGRP 660  
Db |||||||  
Qy 601 LSKKHPLDTLFLLAGPDTVLTPDFLNRCRMHAIISGWQAFFPMHFQAFHPGVAPPQGPGRP 660  
Db |||||||  
Qy 661 ELGRDTGRFDRQAASEACFYNSDYVAARGRLAAASEQEEELLESLDVYELFLHFSSLHVL 720  
Db |||||||  
Qy 661 ELGRDTGRFDRQAASEACFYNSDYVAARGRLAAASEQEEELLESLDVYELFLHFSSLHVL 720  
Db |||||||  
Qy 721 RAVEPALLQRYRAQTCSARLSEDLYHRCLQSVLEGLGSRTQLAMLLFEQEQQNST 775  
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Qy 721 RAVEPALLQRYRAQTCSARLSEDLYHRCLQSVLEGLGSRTQLAMLLFEQEQQNST 775  
Db |||||||

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(57) Abstract: The present invention provides novel nucleic acids, novel polypeptide sequences encoded by these nucleic acids and uses thereof.

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protein, or other sequences which alter or improve the function or stability of protein or RNA molecules.

The targeting event may be a simple insertion of the regulatory sequence, placing the gene under the control of the new regulatory sequence, *e.g.*, inserting a new promoter or 5 enhancer or both upstream of a gene. Alternatively, the targeting event may be a simple deletion of a regulatory element, such as the deletion of a tissue-specific negative regulatory element. Alternatively, the targeting event may replace an existing element; for example, a tissue-specific 10 enhancer can be replaced by an enhancer that has broader or different cell-type specificity than the naturally occurring elements. Here, the naturally occurring sequences are deleted and new sequences are added. In all cases, the identification of the targeting event may be facilitated by 15 the use of one or more selectable marker genes that are contiguous with the targeting DNA, allowing for the selection of cells in which the exogenous DNA has integrated into the host cell genome. The identification of the targeting event may also be facilitated by the use of one or more marker genes exhibiting the property of negative selection, such that the negatively selectable marker is linked to the exogenous DNA, but configured such that the negatively 20 selectable marker flanks the targeting sequence, and such that a correct homologous recombination event with sequences in the host cell genome does not result in the stable integration of the negatively selectable marker. Markers useful for this purpose include the Herpes Simplex Virus thymidine kinase (TK) gene or the bacterial xanthine-guanine phosphoribosyl-transferase (gpt) gene.

The gene targeting or gene activation techniques which can be used in accordance with this aspect of the invention are more particularly described in U.S. Patent No. 5,272,071 to Chappel; U.S. Patent No. 5,578,461 to Sherwin et al.; International Application No. PCT/US92/09627 (WO93/09222) by Selden et al.; and International Application No.

25 PCT/US90/06436 (WO91/06667) by Skoultschi et al., each of which is incorporated by reference herein in its entirety.

#### 4.6 POLYPEPTIDES OF THE INVENTION

The isolated polypeptides of the invention include, but are not limited to, a polypeptide 30 comprising: the amino acid sequences set forth as any one of SEQ ID NO:1787-3572 and 5359-7144 or an amino acid sequence encoded by any one of the nucleotide sequences SEQ ID NO:1-1786 and 3573-5358 or the corresponding full length or mature protein. Polypeptides of the invention also include polypeptides preferably with biological or immunological activity that are encoded by: (a) a polynucleotide having any one of the nucleotide sequences set forth in SEQ ID 35 NO:1-1786 and 3573-5358 or (b) polynucleotides encoding any one of the amino acid sequences

set forth as SEQ ID NO:1787-3572 and 5359-7144 or (c) polynucleotides that hybridize to the complement of the polynucleotides of either (a) or (b) under stringent hybridization conditions. The invention also provides biologically active or immunologically active variants of any of the amino acid sequences set forth as SEQ ID NO:1787-3572 and 5359-7144 or the corresponding 5 full length or mature protein; and "substantial equivalents" thereof (e.g., with at least about 65%, at least about 70%, at least about 75%, at least about 80%, at least about 85%, at least about 90%, typically at least about 95%, more typically at least about 98%, or most typically at least about 99% amino acid identity) that retain biological activity. Polypeptides encoded by allelic variants may have a similar, increased, or decreased activity compared to polypeptides 10 comprising SEQ ID NO:1787-3572 and 5359-7144.

Fragments of the proteins of the present invention which are capable of exhibiting biological activity are also encompassed by the present invention. Fragments of the protein may be in linear form or they may be cyclized using known methods, for example, as described in H. U. Saragovi, et al., *Bio/Technology* 10, 773-778 (1992) and in R. S. McDowell, et al., *J. Amer. 15 Chem. Soc.* 114, 9245-9253 (1992), both of which are incorporated herein by reference. Such fragments may be fused to carrier molecules such as immunoglobulins for many purposes, including increasing the valency of protein binding sites.

The present invention also provides both full-length and mature forms (for example, without a signal sequence or precursor sequence) of the disclosed proteins. The protein coding 20 sequence is identified in the sequence listing by translation of the disclosed nucleotide sequences. The mature form of such protein may be obtained by expression of a full-length polynucleotide in a suitable mammalian cell or other host cell. The sequence of the mature form of the protein is also determinable from the amino acid sequence of the full-length form. Where 25 proteins of the present invention are membrane bound, soluble forms of the proteins are also provided. In such forms, part or all of the regions causing the proteins to be membrane bound are deleted so that the proteins are fully secreted from the cell in which they are expressed.

Protein compositions of the present invention may further comprise an acceptable carrier, such as a hydrophilic, e.g., pharmaceutically acceptable, carrier.

The present invention further provides isolated polypeptides encoded by the nucleic acid 30 fragments of the present invention or by degenerate variants of the nucleic acid fragments of the present invention. By "degenerate variant" is intended nucleotide fragments which differ from a nucleic acid fragment of the present invention (e.g., an ORF) by nucleotide sequence but, due to the degeneracy of the genetic code, encode an identical polypeptide sequence. Preferred nucleic acid fragments of the present invention are the ORFs that encode proteins.

A variety of methodologies known in the art can be utilized to obtain any one of the isolated polypeptides or proteins of the present invention. At the simplest level, the amino acid sequence can be synthesized using commercially available peptide synthesizers. The synthetically-constructed protein sequences, by virtue of sharing primary, secondary or tertiary structural and/or conformational characteristics with proteins may possess biological properties in common therewith, including protein activity. This technique is particularly useful in producing small peptides and fragments of larger polypeptides. Fragments are useful, for example, in generating antibodies against the native polypeptide. Thus, they may be employed as biologically active or immunological substitutes for natural, purified proteins in screening of therapeutic compounds and in immunological processes for the development of antibodies.

The polypeptides and proteins of the present invention can alternatively be purified from cells which have been altered to express the desired polypeptide or protein. As used herein, a cell is said to be altered to express a desired polypeptide or protein when the cell, through genetic manipulation, is made to produce a polypeptide or protein which it normally does not produce or which the cell normally produces at a lower level. One skilled in the art can readily adapt procedures for introducing and expressing either recombinant or synthetic sequences into eukaryotic or prokaryotic cells in order to generate a cell which produces one of the polypeptides or proteins of the present invention.

The invention also relates to methods for producing a polypeptide comprising growing a culture of host cells of the invention in a suitable culture medium, and purifying the protein from the cells or the culture in which the cells are grown. For example, the methods of the invention include a process for producing a polypeptide in which a host cell containing a suitable expression vector that includes a polynucleotide of the invention is cultured under conditions that allow expression of the encoded polypeptide. The polypeptide can be recovered from the culture, conveniently from the culture medium, or from a lysate prepared from the host cells and further purified. Preferred embodiments include those in which the protein produced by such process is a full length or mature form of the protein.

In an alternative method, the polypeptide or protein is purified from bacterial cells which naturally produce the polypeptide or protein. One skilled in the art can readily follow known methods for isolating polypeptides and proteins in order to obtain one of the isolated polypeptides or proteins of the present invention. These include, but are not limited to, immunochromatography, HPLC, size-exclusion chromatography, ion-exchange chromatography, and immuno-affinity chromatography. See, e.g., Scopes, *Protein Purification: Principles and Practice*, Springer-Verlag (1994); Sambrook, et al., in *Molecular Cloning: A Laboratory Manual*; Ausubel et al., *Current Protocols in Molecular Biology*. Polypeptide fragments that

retain biological/immunological activity include fragments comprising greater than about 100 amino acids, or greater than about 200 amino acids, and fragments that encode specific protein domains.

The purified polypeptides can be used in *in vitro* binding assays which are well known in the art to identify molecules which bind to the polypeptides. These molecules include but are not limited to, for e.g., small molecules, molecules from combinatorial libraries, antibodies or other proteins. The molecules identified in the binding assay are then tested for antagonist or agonist activity in *in vivo* tissue culture or animal models that are well known in the art. In brief, the molecules are titrated into a plurality of cell cultures or animals and then tested for either cell/animal death or prolonged survival of the animal/cells.

In addition, the peptides of the invention or molecules capable of binding to the peptides may be complexed with toxins, e.g., ricin or cholera, or with other compounds that are toxic to cells. The toxin-binding molecule complex is then targeted to a tumor or other cell by the specificity of the binding molecule for SEQ ID NO:1787-3572 and 5359-7144.

The protein of the invention may also be expressed as a product of transgenic animals, e.g., as a component of the milk of transgenic cows, goats, pigs, or sheep which are characterized by somatic or germ cells containing a nucleotide sequence encoding the protein.

The proteins provided herein also include proteins characterized by amino acid sequences similar to those of purified proteins but into which modification are naturally provided or deliberately engineered. For example, modifications, in the peptide or DNA sequence, can be made by those skilled in the art using known techniques. Modifications of interest in the protein sequences may include the alteration, substitution, replacement, insertion or deletion of a selected amino acid residue in the coding sequence. For example, one or more of the cysteine residues may be deleted or replaced with another amino acid to alter the conformation of the molecule. Techniques for such alteration, substitution, replacement, insertion or deletion are well known to those skilled in the art (see, e.g., U.S. Pat. No. 4,518,584). Preferably, such alteration, substitution, replacement, insertion or deletion retains the desired activity of the protein. Regions of the protein that are important for the protein function can be determined by various methods known in the art including the alanine-scanning method which involved systematic substitution of single or strings of amino acids with alanine, followed by testing the resulting alanine-containing variant for biological activity. This type of analysis determines the importance of the substituted amino acid(s) in biological activity. Regions of the protein that are important for protein function may be determined by the eMATRIX program.

Other fragments and derivatives of the sequences of proteins which would be expected to retain protein activity in whole or in part and are useful for screening or other immunological

methodologies may also be easily made by those skilled in the art given the disclosures herein. Such modifications are encompassed by the present invention.

The protein may also be produced by operably linking the isolated polynucleotide of the invention to suitable control sequences in one or more insect expression vectors, and employing 5 an insect expression system. Materials and methods for baculovirus/insect cell expression systems are commercially available in kit form from, e.g., Invitrogen, San Diego, Calif., U.S.A. (the MaxBac™ kit), and such methods are well known in the art, as described in Summers and Smith, Texas Agricultural Experiment Station Bulletin No. 1555 (1987), incorporated herein by reference. As used herein, an insect cell capable of expressing a polynucleotide of the present 10 invention is "transformed."

The protein of the invention may be prepared by culturing transformed host cells under culture conditions suitable to express the recombinant protein. The resulting expressed protein may then be purified from such culture (i.e., from culture medium or cell extracts) using known purification processes, such as gel filtration and ion exchange chromatography. The purification 15 of the protein may also include an affinity column containing agents which will bind to the protein; one or more column steps over such affinity resins as concanavalin A-agarose, heparin-toyopearl™ or Cibacrom blue 3GA Sepharose™; one or more steps involving hydrophobic interaction chromatography using such resins as phenyl ether, butyl ether, or propyl ether; or immunoaffinity chromatography.

20 Alternatively, the protein of the invention may also be expressed in a form which will facilitate purification. For example, it may be expressed as a fusion protein, such as those of maltose binding protein (MBP), glutathione-S-transferase (GST) or thioredoxin (TRX), or as a His tag. Kits for expression and purification of such fusion proteins are commercially available from New England BioLab (Beverly, Mass.), Pharmacia (Piscataway, N.J.) and Invitrogen, 25 respectively. The protein can also be tagged with an epitope and subsequently purified by using a specific antibody directed to such epitope. One such epitope ("FLAG®") is commercially available from Kodak (New Haven, Conn.).

Finally, one or more reverse-phase high performance liquid chromatography (RP- HPLC) 30 steps employing hydrophobic RP-HPLC media, e.g., silica gel having pendant methyl or other aliphatic groups, can be employed to further purify the protein. Some or all of the foregoing purification steps, in various combinations, can also be employed to provide a substantially homogeneous isolated recombinant protein. The protein thus purified is substantially free of other mammalian proteins and is defined in accordance with the present invention as an "isolated protein."

The polypeptides of the invention include analogs (variants). This embraces fragments, as well as peptides in which one or more amino acids has been deleted, inserted, or substituted. Also, analogs of the polypeptides of the invention embrace fusions of the polypeptides or modifications of the polypeptides of the invention, wherein the polypeptide or analog is fused to another moiety or moieties, e.g., targeting moiety or another therapeutic agent. Such analogs may exhibit improved properties such as activity and/or stability. Examples of moieties which may be fused to the polypeptide or an analog include, for example, targeting moieties which provide for the delivery of polypeptide to pancreatic cells, e.g., antibodies to pancreatic cells, antibodies to immune cells such as T-cells, monocytes, dendritic cells, granulocytes, etc., as well as receptor and ligands expressed on pancreatic or immune cells. Other moieties which may be fused to the polypeptide include therapeutic agents which are used for treatment, for example, immunosuppressive drugs such as cyclosporin, SK506, azathioprine, CD3 antibodies and steroids. Also, polypeptides may be fused to immune modulators, and other cytokines such as alpha or beta interferon.

15

#### **4.6.1 DETERMINING POLYPEPTIDE AND POLYNUCLEOTIDE IDENTITY AND SIMILARITY**

Preferred identity and/or similarity are designed to give the largest match between the sequences tested. Methods to determine identity and similarity are codified in computer programs including, but are not limited to, the GCG program package, including GAP (Devereux, J., et al., Nucleic Acids Research 12(1):387 (1984); Genetics Computer Group, University of Wisconsin, Madison, WI), BLASTP, BLASTN, BLASTX, FASTA (Altschul, S.F. et al., J. Molec. Biol. 215:403-410 (1990), PSI-BLAST (Altschul S.F. et al., Nucleic Acids Res. vol. 25, pp. 3389-3402, herein incorporated by reference), eMatrix software (Wu et al., J. Comp. Biol., Vol. 6, pp. 219-235 (1999), herein incorporated by reference), eMotif software (Nevill-Manning et al, ISMB-97, Vol. 4, pp. 202-209, herein incorporated by reference), pFam software (Sonnhammer et al., Nucleic Acids Res., Vol. 26(1), pp. 320-322 (1998), herein incorporated by reference) and the Kyte-Doolittle hydrophobicity prediction algorithm (J. Mol Biol, 157, pp. 105-31 (1982), incorporated herein by reference). The BLAST programs are publicly available from the National Center for Biotechnology Information (NCBI) and other sources (BLAST Manual, Altschul, S., et al. NCB NLM NIH Bethesda, MD 20894; Altschul, S., et al., J. Mol. Biol. 215:403-410 (1990)).

#### **4.7 CHIMERIC AND FUSION PROTEINS**

The invention also provides chimeric or fusion proteins. As used herein, a "chimeric protein" or "fusion protein" comprises a polypeptide of the invention operatively linked to

# Toward a Catalog of Human Genes and Proteins: Sequencing and Analysis of 500 Novel Complete Protein Coding Human cDNAs

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With the complete human genomic sequence being unraveled, the focus will shift to gene identification and to the functional analysis of gene products. The generation of a set of cDNAs, both sequences and physical clones, which contains the complete and noninterrupted protein coding regions of all human genes will provide the indispensable tools for the systematic and comprehensive analysis of protein function to eventually understand the molecular basis of man. Here we report the sequencing and analysis of 500 novel human cDNAs containing the complete protein coding frame. Assignment to functional categories was possible for 52% (259) of the encoded proteins, the remaining fraction having no similarities with known proteins. By aligning the cDNA sequences with the sequences of the finished chromosomes 21 and 22 we identified a number of genes that either had been completely missed in the analysis of the genomic sequences or had been wrongly predicted. Three of these genes appear to be present in several copies. We conclude that full-length cDNA sequencing continues to be crucial also for the accurate identification of genes. The set of 500 novel cDNAs, and another 1000 full-coding cDNAs of known transcripts we have identified, adds up to cDNA representations covering 2%–5 % of all human genes. We thus substantially contribute to the generation of a gene catalog, consisting of both full-coding cDNA sequences and clones, which should be made freely available and will become an invaluable tool for detailed functional studies.

[The sequence data described in this paper have been submitted to the EMBL database under the accession nos. given in Table 2.]

The recent past has witnessed major advances in the determination of the sequence of the human genome (Dunham et al. 1999; Hattori et al. 2000). Although the whole genomic sequence will be completely unraveled in the near future (Collins et al. 1998), the identification of genes and the deciphering of gene structures will extend for a prolonged time, and cDNA sequences

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will continue to be invaluable tools for this adventure, especially in view of alternative splicing. The primary focus will shift to the functional analysis of the genes and their protein products to finally understand the molecular basis of human life. Current estimates vary between 29,000 and >70,000 genes to constitute the protein coding repertoire of the human genome (Fields et al. 1994; Ewing and Green 2000; Liang et al. 2000; Roest Croilius et al. 2000). However, thus far only some 11,000 cDNA sequences have been deposited in public databases, which are supposed to contain the complete

protein coding open reading frame (ORF). The majority of the respective cDNA clones are most likely not accessible. The generation of a physical clone set representing all human genes that should be made freely accessible is consequently regarded to have an extremely high impact (Schuler 1997; Pruitt et al. 2000). This would permit the establishment of a catalog of clones to provide the resources needed in the proteomics era where the functions of proteins, their action in pathways, and the possible disease relation are deciphered.

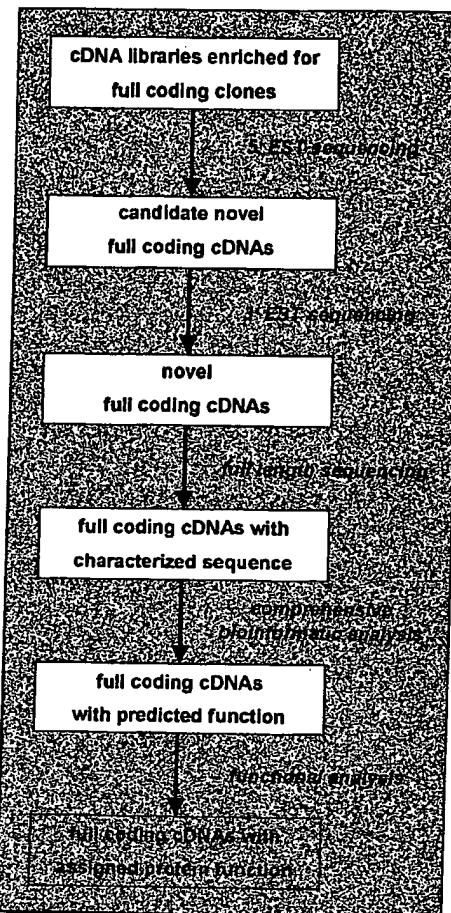
Until recently, the long-cDNA sequencing project carried out at the Kazusa Institute (Nomura et al. 1994; Nagase et al. 2000) Consortium had been the only systematic full-length cDNA sequencing project with a significant output of novel sequence information. The initiation of a new large-scale cDNA sequencing project has been announced lately that is coordinated by the National Institute of Health (Strausberg et al. 1999). We founded a cDNA Consortium in 1997 as part of the German Genome Project and aim at the characterization of the complete sequences of novel human transcripts at the cDNA level.

Here, we report the sequences and analysis of 500 novel human cDNAs that all contain the complete protein coding region. These cDNAs constitute the most valuable essence of 30,000 clones that have been EST sequenced and 3630 fully sequenced cDNAs. Over 1000 cDNAs that cover the complete coding sequence of already known transcripts have been identified in the EST-sequenced clone set. All clones are made available through the Resource Center of the German Genome Project (RZPD).

## RESULTS

### Libraries and Clones

To identify and sequence novel human cDNAs we have 5'-EST sequenced >30,000 independent cDNA clones. Bioinformatic evaluation of these sequences (Fig. 1) led to the identification of full-coding clones of already known proteins (>1000), and to cDNA clones lacking database hits, which are potential targets for full-length sequencing. Presumably novel cDNAs were 3'-EST sequenced and again analyzed for novelty. Out of the initial clones, 3630 cDNAs have been fully sequenced thus far, totaling 8.8 Mb. The sequence subset described here comprises 500 novel human cDNAs that are representations of the complete protein coding part of the original transcripts. Also the other fully sequenced cDNAs represent mostly genes that have not been fully sequenced elsewhere; however, the clones are not likely to contain the complete protein coding region of the respective transcripts, or they contain frame-shift mutations that have probably been introduced during reverse transcription in the cloning



**Figure 1** Flow of clones, sequences, and information in the German cDNA Consortium. 5' EST sequences were systematically generated from the clones of 384-well microtiter plates and analyzed for hits in public databases. Clones with novel sequences were 3'-EST sequenced and these ESTs were analyzed again for novelty. Clones of uncharacterized transcripts were reported back to the sequencers who then did the full-length sequencing of cDNAs. The final sequence was analyzed comprehensively with bioinformatic tools and the outputs were evaluated manually. The clones feed functional analysis projects that take advantage of the clone resources generated.

process. Therefore, these clones are only of reduced value for functional analysis. The number of bases reported for the 500 full-coding cDNAs is 1,264,620 bp; the average insert size of the clones is 2529 bp. The clones originate from five different cDNA libraries that have been sampled in varying numbers of clones (Table 1) to maximize the likelihood of identifying novel cDNAs.

The calculated average size of the encoded proteins was 470 amino acid residues, which equals the number that has been reported previously for some 1200 genes (Makatowski and Boguski 1998). There was, however, a wide variation between 66 and 1805 residues. The cDNA identifiers, the respective sequence ac-

Table 1. Library Distribution of cDNA Clones Analyzed

RZPD library identifier	Tissue	No. of clones	% of the clones reported	Average insert size (bp)	Average ORF size (aa)
DKFZp434	Testis	204	40.8	2766	562
DKFZp564	Fetal brain	142	28.4	2049	353
DKFZp566	Fetal kidney	43	8.6	2210	328
DKFZp586	Uterus	50	10.0	2506	492
DKFZp761	Amygdala (brain)	61	12.2	3055	506

cession numbers (EMBL/GenBank/DDBJ), cDNA sizes, the length of ORFs, the chromosomal location, and functional details for the individual cDNAs are broken down in Table 2. This table is available in its entirety at <http://www.dkfz-heidelberg.de/abt0840/GCC>.

#### Features of 5'- and 3'-Untranslated Regions

The 5'-untranslated regions (UTRs) averaged 148 nt, which is the same range as that reported previously (Pesole et al. 1996) but considerably shorter than the number (215 nt) calculated in the UTRdb (Pesole et al. 2000). There was a wide variation in size ranging up to >800 nt (e.g., DKFZp761F182). Even this long 5'-UTR was consistent with the scanning model for translational initiation (Kozak 1999) as there was no AUG codon in this stretch of sequence. In-frame stop codons upstream from the initiator ATG were present in 56.4% (282) of the cDNAs. This number is consistent with that observed with cDNAs isolated from oligonucleotide cap ligation libraries (Suzuki et al. 2000), where the cDNAs have been selected to contain the extreme 5' ends of the respective transcripts. The overall GC content in the 5'-UTRs (56.3%) was considerably higher than that in the coding regions (52.6%) and the 3'-UTRs (45.7%). This is consistent with the finding that CpG islands frequently extend into the transcribed sequence (Cross and Bird 1995) whereas elements present in the 3'-UTR are often AU rich (Xu et al. 1997).

The average size of the 3'-UTRs was 926 nt [not including the poly(A) tail], which is considerably larger than the 388 nt and 820 nt reported by Makalowski and Boguski (1998) and Pesole et al. (1996), respectively. This discrepancy probably derives from the longer average size of the cDNAs described here, as compared with that observed in the previous studies. As with the 5'-UTR there was great variability with the size of the 3'-UTR. The translation terminator codon TAA could be part of the polyadenylation signal (e.g., in clone DKFZp564F2272) whereas in other cDNAs the 3'-UTR was found to be >4000 nucleotides (e.g., DKFZp486C1218).

We screened for the presence of repeat structures across the cDNA sequences. The *Alu* repeat family was

most frequently contained in the cDNAs; 7.6% (38) of the cDNA inserts carried this type of repeat. *L1* repeats were present in two cDNAs; one cDNA contained both *LTR2* and *Alu* repeats (DKFZp761G18121). The repeat structures were, without exception, located in the 3'-UTR of the respective cDNAs. However, in a number of other cDNAs we found repeats also in the presumed 5'-UTRs. All of these clones turned out to be not completely spliced and/or partial upon further analysis, and having intronic sequence at the 5' ends. We therefore reason that the presence of repeat structures in 5'-UTRs of transcripts is rather rare. The lack of repeat structures in 5' EST sequences has since been implemented as criterion in the selection process of cDNA clones that are targeted to full-insert sequencing to further increase the impact of the project.

#### Functional Classification

We grouped the cDNAs into functional classes according to homologies of their encoded proteins with already known proteins (Table 2 and Fig. 2): cell cycle, differentiation and development, membrane protein, metabolism, nucleic acid management, protein management, signaling and communication, structure and motility, transport and traffic, and unknown. Sequence annotations in databases sometimes were misleading, and the putative function of a protein could not be simply deduced by regarding the hit with the highest similarity as being the most significant. The integration of results from several search algorithms was necessary to draw relevant conclusions. For example, the deduced protein sequences were evaluated for the presence of specific (protein) sequence patterns necessary for the function/activity of a particular protein [e.g., the DFG/DWG and aPE motifs had to be present in a protein kinase, as reported by Hanks et al. (1988)]. The results of this functional classification are given in Table 2. The largest class constitutes proteins of unknown function (202 cDNAs, 41%). Considering that for another 39 cDNAs (8%) the only prediction that had been possible was that the deduced proteins would contain a putative transmembrane domain, no function could be inferred to a total of 241 cDNAs (48%) of the predicted proteins. But even if functional

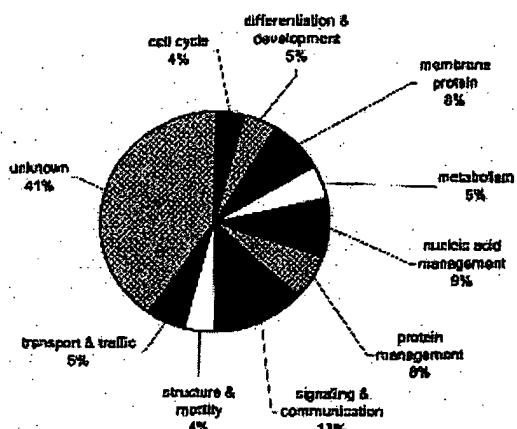
Table 2. Functional Classification of Individual cDNAs

Clone ID	Accession no.	cDNA data			Cell cycle			Tissue specificity		
		Contig size (bp)	ORF size (aa)	Chromosomal location	Description of best hit	Database accession no.	Database accession no.	Gene family	Tissue	Score
DK7P4340520	AI136842	2768	254	2922	gene BORG product GRB-containing BORG2 protein / Homo sapiens	EMBL AF164118	2.9e-99			
DK7P4341355	AI12068	3010	670	5013	GRB-containing BORG2 protein (BORG) mRNA complete cds / Homo sapiens	EMBL AF048928	0			
DK7P4341355	AI16755	1848	387	19212	homolog of Rho GTPase-activating protein (RhoGAP) homologous protein / Homo sapiens	EMBL AF048920	5.7e-22			
DK7P43417	AI30146	1546	398	19213	homolog of mRNA for Cyclin B2 / Homo sapiens	EMBL AF026981	0			
DK7P434G051	AI136750	1503	379	19162	cell cycle regulating nuclear protein / Homo sapiens	PRX4068	2.7e-14			
DK7P4341354	AI136840	4619	855	1013	gene, cell division cycle, protein 23, 23p11.2 / Homo sapiens	EMBL AF035543	7.2e-21			
DK7P4341037	AI136891	3445	628	19321	chromosome 11 cosmid 1347 gene, cell division cycle, protein 23, 23p11.2 / Homo sapiens	EMBL AF057709	2.6e-148	protein kinase		
DK7P4341N020	AI17225	1554	462	104392	tRNA 11, tRNA 10, tRNA 03 / Homo sapiens	EMBL AF053709	0			
DK7P434107	AI136894	2360	422	9934	protein kinase / Homo sapiens	PRX5318	5.9e-10	kinase		

**Table 2.** (Continued)

Clone ID	Accession	Contig	ORF size (bp)	Chromosomal location	Best database hit:			Tissue specificity:		
					Description of best hit	Database accession no.	p-value	Gene family	Tissue	Score
DK214341223S	AL136850	2027	549	1q12	Uncharacterized (pre-2 locus clone)	PRC22135	2.5e-226			
DK215640723	AL180116	252	712	6p14.3-q16	Gene ORC3, prelinc 0.75	EBI-AB018504	0			
DK275562812	AL50261	267	204	6p22.1-q22.3	Hom sapiens CCR98 protein mRNA, complete cds	EMBL-AB151856	1.2e-265			
DK275562816	AL136599	4775	98	10q22.3	Gene KIA0792, product KIA0792, Protein [Hom sapiens] tRNA fork A/2072, partial cds	EMBL-AB018340	2.1e-50			
DK275562817	AL136566	224	335	17q11.2	Protein isoform 2 of implantation-associated protein (IAP2), mRNA, partial cds	EMBL-AB010085	2.4e-184			
DK275562819	AL136590	941	185	4q31.21	Hom sapiens CCR98 protein mRNA, partial cds	EMBL-AB012109	2.4e-171			
DK275562820	AL50582	1646	14	3p21.1	Hom sapiens DDX1 mRNA, complete cds	EMBL-AB08983	0			
DK275562821	AL50641	1646	14	3p21.1	Hom sapiens DDX1 mRNA, complete cds	EMBL-AB08983	0			
DK2756060340	AL136719	4503	262	9q22.1	Hom sapiens spinolin mRNA, complete cds	EMBL-AB106682	0			

predicted DNAs have been grouped into functional categories (see *Sait et al.* 2004). These are available from the Resource Center of the German Cenome Project using the *Entrez GeneBank (DDB)* database. Under the accession number is shown in the first column. The respective gene name is shown in the second column. The third column provides the size of the individual DNA inserts and the fourth column shows the size of the respective genes as shown in the fifth column. Column 6 is the *NCBI* database ID, and the chromosome location is shown in the sixth column. Column 7 shows the *BLASTX* search results, where the best hit and the description of this hit is provided. Column 8 shows the *BLASTX* score. Selection of the respective genes in the following REMB database has been calculated from the following three categories: (1) when no other hits were available, (2) when one hit was available, (3) when no hits were available. The sequence entries are given in the following table.



**Figure 2** Functional classification of proteins encoded by the cDNAs. The deduced proteins were grouped into 10 functional categories based on sequence similarity with proteins of known function. The fraction of the 500 cDNAs grouped into the respective categories is indicated.

predictions were possible, the identification, for example, of a protein kinase, neither provides information on its substrates nor on the pathway(s) in which it is involved. Comprehensive functional analyses should be specifically indicated for a set of cDNAs encoding candidates for genes related to disease, such as putative GTP binding proteins, ion channels, and a cDNA encoding a protein that is highly similar to an oncogene.

We further analyzed the cDNAs for the presence of function-related sequence motifs to also identify novel members of gene families. We identified 41 potential leucine zipper proteins (Struhl 1989), 11 proteins with WD-domains (Neer et al. 1994), 11 proteins with predicted zinc finger domains (Parraga et al. 1988), 7 potential protein kinases, and 5 RNA helicases. The respective clones are indicated in Table 2 (column 9). Two cDNAs (DKFZp586I021 and DKFZp434O1826) contain both a WD-domain and a leucine zipper. A zinc-finger domain is predicted additionally for the deduced protein of the former cDNA.

#### Alternative Splicing

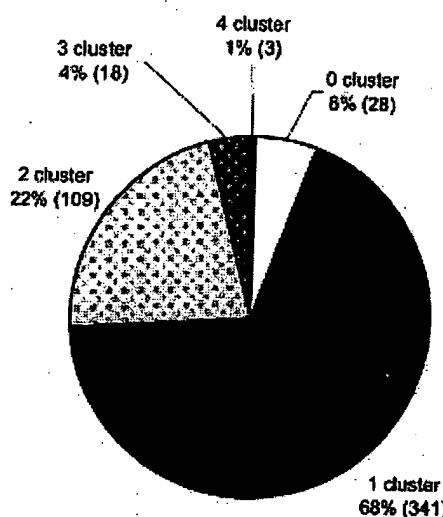
We found 39 (7.8%) cDNAs to represent putative splice variants of already known transcripts. This number is likely to represent the lower end of the fraction of transcripts that are alternatively spliced *in vivo* as any cDNAs representing already fully-known transcripts were excluded from further sequencing and alternative splice forms should therefore be under-represented in our set. We found ORFs with additional exons (e.g., DKFZp761B192), skipped exons (e.g., DKFZp564A032), and alternative exons including one containing the translational start codon and resulting in a different N terminus of the deduced peptide (e.g., DKFZp434J154).

The percentage of alternatively spliced cDNAs appeared to be slightly higher in fetal brain, 40% of the alternatively spliced cDNAs originate from fetal brain whereas only 28% of all cDNAs analyzed originate from this tissue. This finding is consistent with reports by Sutcliffe and Milner (1988) and Hanke et al. (1999). The presence of intron sequences reminiscent in many cDNA sequences available in public databases, however, might lead to an overestimation of the extent of alternative splicing that is taking place *in vivo*. Experimental evidence will therefore be needed to confirm presumed alternative splice forms.

#### Representation of cDNAs in the UniGene Data Set

Depending on the true number of human genes, about 60%–90% have already been identified by partial sequencing of >2,000,000 cDNAs (EST sequencing). Overlapping EST sequences have been clustered to break down this large number of ESTs to comprehensive collections that should consist of nonredundant data sets having one representation (cluster) for every gene. The most widely accepted clustering data set is the UniGene (Schuler et al. 1996) resource at the NCBI (<http://www.ncbi.nlm.nih.gov/UniGene/>). This dataset currently consists of >90,000 clusters of mostly partial sequences. Consensus sequences of these clusters are available from <http://www.rzpd.de>. To investigate the representation of the novel cDNAs reported here in the UniGene data set and to evaluate the maximum number of genes that could be represented there, we aligned the full-length sequences with the UniGene database. The version of UniGene (Build 105) that was used in the analysis consisted of 92,931 clusters with 10,501 clusters containing known genes.

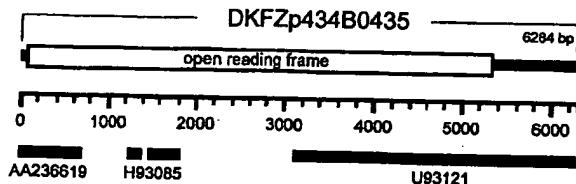
In total, 626 UniGene clusters matched with 472 out of the 500 full-coding cDNA sequences. The majority of cDNAs (342, 68%) was represented by one UniGene cluster. An additional 130 (26%) cDNAs were represented by 284 separate UniGene clusters (Fig. 3). Thus, a number of UniGene clusters could be linked by the full-length cDNA sequences. An example of three UniGene clusters that were joined with one cDNA is given in Figure 4. We analyzed the ESTs and clusters that were placed internal to the cDNAs reported here and found that most of the EST clones making up these clusters had originated from internal priming events (mostly in reminiscent intron sequences) and not from alternative polyadenylation. The number of 640 clusters that was hit with 472 cDNA sequences implies that there is ~35% redundancy in UniGene. As the average size of the human transcripts in general has been estimated to be in the same range as the average size of the cDNAs reported here (by quantification of Northern blots that had been hybridized with a labeled oligonucleotide dT probe; N. Nomura, pers. comm.), our finding should be representative. However, the true



**Figure 3** Representation of cDNAs in the UniGene data set (Build 105). Every cDNA was aligned with the UniGene data set to identify the number of EST clusters that was hit/joined with a given cDNA. The fraction and the total number (in parentheses) of the cDNAs are given for the varying numbers of clusters being hit.

number of genes represented in UniGene will further condense as a considerable fraction of the UniGene clusters are singletons (~39%), which are clusters made up by only one cDNA, and several of these will eventually turn out to be artifacts. Consequently, we estimate the number of independent genes that are represented in UniGene to be 50,000 at most.

A fraction of 6% (28 cDNAs) did not have hits in the UniGene database (cutoff, sequence identity >95% in 50 bp). The low number of the novel cDNAs without UniGene matches might in turn imply that >90% of all human genes were already represented in this database. However, we would rather assume that an unknown number of genes has escaped cloning and/or identification so far as the respective transcripts might be expressed only at extremely low levels or in very specialized cell types or differentiation stages. A proper selection of tissues or even single cell types for cDNA



**Figure 4** Three UniGene clusters are joined when aligned with the cDNA sequence DKFZp434B0435. The bar on top of the scale represents the cDNA with the open reading frame drawn as an open box. The bars below the scale represent the position and size (in bp) of the three UniGene clusters that are joined by the cDNA sequence. The accession nos. of representative sequences of the respective UniGene clusters are given below the bars.

library production will be a critical issue for the detection and cloning also of these rarely expressed transcripts. For example, fetal brain, although very complex in expression, has been so deeply sampled in EST projects [especially the IMAGE 1NIB library (Soares et al. 1994)] but also in full-length cDNA sequencing (Nagase et al. 2000) that the novelty rate (3 of 142 cDNAs, 2%) is rather low in this tissue. In contrast, testis currently appears to have a higher potential for identifying transcripts not yet covered by ESTs (19 of 204 cDNAs, 9%).

#### Tissue Specificity of Expression

To analyze for a possible tissue specificity of expression we aligned the cDNA sequences with the EST database dbEST. ESTs originating from pooled tissues and tissues with unclear origin were excluded. Each cDNA received a score indicating the degree of tissue specificity. The higher this score, the higher the likelihood that expression of the particular transcript should be restricted to that tissue. A ubiquitously expressed transcript would have had a score of one. Only cDNAs with scores of five or higher are indicated in Table 2 (columns 10–12). In total, the expression of 22 transcripts appeared to be restricted to only one tissue with matching tissues of our cDNA and the ESTs (Table 2). Six brain-derived cDNAs only matched ESTs that had derived from brain tissues. Most of the cDNAs encode proteins that are either involved in the cell cycle or signaling pathways, for example, a stathmin-like protein and a protein similar to a calmodulin-binding protein. Only one of the six cDNAs encodes a protein of unknown function. Another 15 testis cDNAs had hits only with ESTs from testis/male genital tract. Although predictions could be made for three of the encoded proteins (a predicted sperm flagellar protein, a putative neurotransmitter transporter, and a possible nuclear pore protein), the other 12 cDNAs encode proteins of unknown function. The only uterus cDNA predicted to be specifically expressed in uterus/ovary encodes a putative chaperone-associated protease, which could indicate that this protein might be involved in the differentiation of the egg or embryo. The expression of several testis-derived transcripts appeared to be very selective as the scores calculated for these cDNAs were rather high, compared with scores obtained with other cDNAs and tissues (Table 2). This also matches the observation that the novelty rate, counting cDNAs without EST hits, was highest in the testis library (see above).

#### cDNAs Mapping to Human Chromosomes 21 and 22

To demonstrate the power of mapping genes by aligning cDNA with genomic sequences we downloaded the sequences of the first two completely sequenced human chromosomes 21 (Hattori et al. 2000) and 22

(Dunham et al. 1999) and aligned them with those novel cDNAs mapping to the respective chromosomes (Table 3). Clone identifiers of the respective cDNAs and the insert and ORF sizes are provided in the first three columns. For ORF sizes (column 3) the predicted number of amino acid residues is given first, followed by the number of the residues deduced from the cDNA sequence; a dash (-) is inserted for proteins that were not predicted. The predicted localization as based on mainly STS data is given in the fourth column, followed by the exact localization of the genes (gene locus in bp as defined in the published sequences of chromosome 21, <http://hgp.gsc.riken.go.jp>, and chromosome 22, <http://www.sanger.ac.uk/cgi-bin/cwa/22cwa.pl>). The accession numbers of the genomic clone(s) covering the genes, identifiers of predicted transcripts (if available; dashes indicate nonpredicted genes), the number of predicted exons out of the number of identified exons (based on cDNA sequence), and the number of UniGene clusters that were hit with the respective cDNAs are given in columns 6–9.

Whereas 13 of the novel cDNAs map to chromosome 22, only two cDNAs map to chromosome 21. This could either be a reflection of the generally higher gene content of chromosome 22 (554 compared with the 225 predicted genes on chromosome 21) or be a result of the fact that the percentage of genes that had been known previously is higher for chromosome 21 (this chromosome had long been carefully investigated because of its clinical implications, e.g., in Down syndrome). A third explanation could be a correlation between chromosomal location and global expression levels of the individual genes, as has been proposed by Ewing and Green (2000), with genes mapping to chromosome 21 in general possibly being expressed at lower levels compared with genes located on chromosome 22.

By combining the genomic and cDNA data, the exact gene structures of all 15 cDNAs could be determined. Although all cDNAs were covered by UniGene clusters, only 8 of the 15 genes had been predicted from the genomic sequence. Most of these gene predictions were precise, identifying the majority or all exons. The number of amino acid residues varied in most cases only marginally from the number deduced from the cDNA sequence. However, one cDNA (DKFZp564B212) merged three predicted transcripts to only one gene and overlapped another gene (bK445C9.C22.3) predicted on the opposite strand. In total, seven genes had completely failed to be predicted, some of which encode rather large ORFs and consist of several exons.

The mapping information that is based on genomic sequence not only gives the exact localization of individual genes but also provides information on the context of these genes in view of neighboring

genes (e.g., DKFZp434B194 and DKFZp564B212 are only 13 kb apart) and the presence of probable additional gene copies. For example, the genes of cDNAs DKFZp434N035 and DKFZp434P211 appear to be present on chromosome 22 in 2 and 9 highly similar copies (>85% sequence identity on nucleotide level), respectively. DKFZp434P211 could indicate a cluster of highly similar POM121 related genes (Fig. 5), the first of which was described by Kawasaki et al. (1997). Two copies (2850458 and 2871777) seem to be ancient and inactive as they are incomplete, contain several frame shifts, and share only 89% and 87% sequence identity with the cDNA sequence in exon 1, respectively. The other copies are highly similar (>95% identity on nucleotide level). Further experiments will be necessary to investigate how many of the gene copies are expressed and to explain the presence of the stop codon at position 429 in three of the gene copies (and in the cDNA) but a sense codon in this position in four other gene copies, possibly leading to an extended protein product. EST evidence is available for transcripts of both types of genes (e.g., for copies 5055694 and 8220566).

## DISCUSSION

The considerable fraction of genes that were not predicted in the analysis of the chromosome 21 and 22 sequences was somewhat surprising, as EST data and UniGene clusters (Table 3) were also available for these genes. Three of the genes that were not predicted even appear to be present in more than one copy on the same chromosome, namely, within 6 Mb on chromosome 22. But even if all genes could be identified via bioinformatic procedures, the alternative use of exons and promoters (alternative splicing) constitutes a problem that cannot currently be solved with knowledge of the genomic sequence alone. Consequently, only the availability of cDNA sequences enables us to define the precise protein coding parts of the genome and, in conjunction with the genomic counterpart, to also define the composition of exons in alternatively spliced transcripts of the same gene. Both the sequence and the chromosomal location of genes are important pieces of information supportive also in the process of defining and analyzing candidate disease genes.

Most of the genome has been unraveled as draft sequence, where sequence submissions of individual genomic clones are released in several contigs of varying length. These contigs are usually not ordered relative to one another. However, automated assembly and annotation tools like GoldenPath (<http://genome.ucsc.edu/goldenPath/hgTracks.html>) try to overcome this problem and prove to be extremely helpful for the mapping of cDNAs. The availability of cDNA sequences in turn immediately helps to identify the genes that are located on the respective

Table 3. Analysis of Gene Structures of cDNAs Mapping to Human Chromosomes 21 and 22

clone ID	contig size (bp)	ORF size (aa)	Predicted chromosomal location	Chromosomal location relative to the published genomic sequences	Accession no. of genomic sequence entry	Annotation no. of predicted transcript	No. of predicted true UniGene clusters
CHROMOSOME 21							
DK2P43N0650	1095	186	219	2914115-2800884	HS C10N	0/1	1
DK2P586421	563	108	10	2684951-267454	AD2394	0/1	1
CHROMOSOME 22							
DK2P44B194	2876	839	837	2291-21	0481146-1046066	295115	0/1
DK2P175016	2377	478	2291-23-13	233174-233352	AD02212N	0/1	3
DK2P34H130	3176	1445	229132-013-53	26761456-267450	AD04958	0/1	2
DK2P34N035	1978	160	229112	4629050-632559	AC007308N	0/1	2
DK2P34P211	5024	128	229112	5393102-39780	AP000557N	0/1	2
				2699820-70312	AC008128103	0/1	4
				2850458-771349	AC00736803	0/1	
				261777-287073	AC00726		
				4617790-61936	AC00700		
				5055694-504276	AC00272		
				5210585-52411	AP000552		
				6550307-65587	D8703-D8700		
				820566-823158	AP000351		
				862776-892601	AP000356		
				1058798-1049469	295115	0/1	
					DK104819-C22		
					DK14559-C22		
					DK4509-C224		
					DK4559-C225		
					DK321M11-C222		
					0/1		
DK2P5641978	129	12716	22912	2274505-2249663	AD21707	0/1	1
DK2P5641978	1662	2223	2291-23-132	269516-268538	AD02476	0/1	1
DK2P5641978	1824	172	22911	29888-292670	AC008079	0/1	1
				261223-261009			
				271683-271477			
				430840-51012			
				522767-5228269			
				2951035-2962479	2933129374	0/1	1
					Z84478		
DK2P58K022	3477	639617	229122	314776-1517906	AC02073	0/1	1
DK2P7311071	5071	588617	229133-1333	202313-2048483	AD3562	0/1	2
DK2P73110712	2690	212	229133	2633387-2633092	0/1	0/1	1
				0/1			

DKFZp434P211	1	MDSLMGPQAG SHPPGVHNTR LSPDLCPGKI VLRAKRSQG- -AGMPEQDQD PRVQENPGDQ RRVPEVYDIA RPAFRPLRDN QGLSPFVPGP --GPLQTDLH	100
D87002	-	.....	.....
2699820	+	.....	PS.
2850458	-	.....	PS.
2871777	-	.....	PS.
4617790	+	.....	PS.
5055694	-	.....	PS.
5210585	+	.....	PS.
6560307	-	.....	PS.
8220566	+	.....	PS.
8627661	-	.....	PS.
DKFZp434P211	101	.....	.....
D87002	AKRSEIRYRQ TSQTSWTSSC TIRNAISSYY SSTGGLPGKL RRRGPASSHC QLTLSSSKTV SEDRPAQAVSS GHTQCKAAAD IAPQQTTLR NDSSTSEASR	200	
2699820	+	.....	.....
2850458	-	.....	.....
2871777	-	.....	.....
4617790	+	.....	.....
5055694	-	.....	.....
5210585	+	.....	.....
6560307	-	.....	.....
8220566	+	.....	.....
8627661	-	.....	.....
DKFZp434P211	201	.....	.....
D87002	PSTKFPVLLP RRRGPPLMLP PPPLIGYTRVT VEDLDRKEKA AFRQINSALQ VEDKAISDCA PSLPSEHLLS LATGASGLPA VSKAPSMDAQ QSTHESQDCL	300	
2699820	+	.....	.....
2850458	-	.....	.....
2871777	-	.....	.....
4617790	+	.....	.....
5055694	-	.....	.....
5210585	+	.....	.....
6560307	-	.....	.....
8220566	+	.....	.....
8627661	-	.....	.....
DKFZp434P211	301	.....	.....
D87002	.....	.....	.....
2699820	+	.....	.....
2850458	-	.....	.....
2871777	-	.....	.....
4617790	+	.....	.....
5055694	-	.....	.....
5210585	+	.....	.....
6560307	-	.....	.....
8220566	+	.....	.....
8627661	-	.....	.....
DKFZp434P211	401	.....	.....
D87002	ALHISGPQPO LQQVFRQQW RQQTTSWTSSC PK*	400	
2699820	+	.....	.....
2850458	-	.....	.....
2871777	-	.....	.....
4617790	+	.....	.....
5055694	-	.....	.....
5210585	+	.....	.....
6560307	-	.....	.....
8220566	+	.....	.....
8627661	-	.....	.....

**Figure 5** Multiple sequence alignment of cDNA DKFZp434P211 with POM121-related 1 (accession no. D87002) and sequences from chromosome 22 demonstrate the presence of a cluster of POM121-related genes. The individual genomic sequences were named after the start of the first exon relative to the cDNA: The open reading frame (ORF) was defined according to the predicted protein of the cDNA and of POM121-related 1. Genes located on the plus and minus strands of chromosome 22 are indicated with + and -, respectively. The cDNA sequence of DKFZp434P211 was taken as reference; identical residues in other sequences are indicated with a dot, residues deviating from the consensus are printed. Asterisks (\*) indicate stop codons. The genomic sequences 2850458 and 2871777 are in italics because these copies deviate from the other copies by a premature stop or frame shifts and a large insertion, respectively, and are probably not expressed. In these two gene copies the initiator ATG is mutated. Dashes (-) were inserted by the software (CLUSTAL) to optimize the alignment.

genomic clones, to support the ordering of the draft sequence contigs, and to narrow down the regions where putative regulatory elements should reside. Thus, cDNA and genomic sequences are complementary and synergistically add information. The BLAST analysis of cDNAs and matching genomic sequences showed that only 32 cDNAs did not have corresponding genomic matches (not covered, NC in Table 2, column 5), which is the number expected because >91% of the genomic sequence are reported to be unraveled.

The chromosomal localization could be approximated for 449 cDNAs using the GoldenPath web browser; 21 BACs had not been mapped (NM). The accession numbers of these BACs are provided in column 5 of Table 2. The combination of genomic and cDNA sequence provides the gene structures with precise exon-intron boundaries and defined intron sequences.

Furthermore, it will become increasingly important to not only have the human genes identified but rather to characterize the precise functions of the en-

coded proteins and also the functions of those transcripts that are not translated. To this end, full-coding cDNA representations are indispensable tools, for example, for the subcloning of exactly defined ORFs into expression vectors. However, currently only ~11,000 nonredundant cDNA sequences have been deposited in public databases which are supposed to contain the complete protein coding ORF. An even lower number of these full-coding ORFs can be obtained as cDNA clones through commercial or noncommercial providers (e.g., ATCC, Genome Systems, Research Genetics, HGMP, Resource Center of the German Genome Project) and would thus be available for functional research.

Recently, the range of estimates given for the number of human genes has evolved to the lower end, because in two calculations only ~35,000 human genes have been predicted (Ewing and Green 2000; Roest Croilius et al. 2000). Our data would also hint at a lower than previously expected number, as we would estimate the number of genes currently represented in UniGene to be 50,000 at most. Still, the real number of human genes needs to be established by further cDNA and also by comparative genomic sequencing (e.g., of the mouse). If it should hold true, however, that the number of genes in human was indeed only about two-fold higher than the ~18,000 genes that have been predicted for *Caenorhabditis elegans* by The *C. elegans* Sequencing Consortium (1998) the question would arise as to where the difference in complexity between these two life forms originated. Because the sheer doubling of gene number would not be likely to account for all differences, the comprehensive analysis of gene and protein function(s) would become an even greater problem. This is because one solution to this apparent paradox could be the acquisition of multiple functions by many of the proteins expressed in human. This would add another order of complexity to the line starting with the genome and continuing through the transcriptome with alternative splicing, the proteome with post-translational modifications, and finally (?) to a 'functiome,' which would cover the acquisition of diverse functions by the same protein depending on its cellular and subcellular environment. Several examples of such multiple usages of proteins have already been described (Jeffery 1999).

In the set of 500 novel cDNAs described here, only about half of the deduced proteins could be functionally classified, while identification, for example, of a protein kinase does not provide information on substrates or pathways in which this protein is involved. Additionally, half of the predicted proteins remain without any hint as to their possible function. With this in mind, the establishment of a gene catalog which will eventually contain a nonredundant set of full-coding cDNA sequences and clones covering every

human gene, is prerequisite to carry out the experiments needed to precisely identify the protein function(s). This catalog should be the result of a global enterprise integrating the data and clones from as many projects and researchers as possible and could be an extension of already existing databases such as GeneCards (Rebhan et al. 1998) and RefSeq (Pruitt et al. 2000) with, for example, links to the clone providers mentioned above. In addition to the novel full-coding cDNA sequences and clones described here, we have identified over 1000 cDNAs which comprise full-coding representations of previously known genes. In combination, these cDNAs represent 2%–5% of all human genes and will thus be a substantial part of the catalog and be ideal tools to carry out functional analyses. Although the 500 novel cDNAs have been fully sequenced and can be directly used in functional analysis, the cDNAs representing known genes need further characterization because these are not fully sequenced. To this end, we amplify the ORFs from these cDNAs and verify the predicted size. These ORFs are then cloned into a bacterial expression vector which contains a N-terminal fusion with the GFP. As the Gateway system (Life Technologies) is employed in the cloning process, the ORFs can be shuttled into any expression vector (Simpson et al. 2000). Only intact reading frames (no PCR frame shifts, no introns, no frame shifts in the clone) lead to fluorescent colonies as the ORF extends uninterrupted into the GFP. The Gateway entry clones of the verified genes are also made available through the Resource Center.

To address the systematic functional analysis of the novel proteins, a large-scale project dealing with the subcellular localization and functional analysis of the proteins encoded by newly identified cDNAs reported here is underway (Simpson et al. 2000). Thus, the gene catalog in upcoming years will form the basis for the large-scale and comprehensive functional analysis of human genes and proteins, which is crucial to understand the basis of human life, disease, and death.

## METHODS

### Library Construction

#### SMART Libraries

The DKFZp564 (human fetal brain) and DKFZp566 (human fetal kidney) libraries were generated using the SMART kit (Clontech). PCR amplification of the cDNA was necessary to obtain enough cDNA for cloning. The first-strand primer did contain the KS sequence of the pBluescript vector (Stratagene) and any base but T (IUB code = V) in the 3'-terminal position of the primer [TCGAGGTCGACGGTATCGATAAG(T<sub>19</sub>)V]. Amplification of the primary cDNA with AmpliTaq (Perkin Elmer) and Pfu (Stratagene) DNA polymerases in a ratio of 19/1 (vol/vol) was carried out with primers that contained

uracil residues (3' primer: CAUCAUCAUCAUGGAGGTCGAC GGTATCGATAAG; 5' primer: CUACUACUACUATACGCT GCGAGAAGACGACAGAA) and that were compatible with the pAMP1 (Life Technologies) cloning sites for directional cloning. Prior to cloning, the cDNA was size fractionated on an agarose gel. Fragments >2 kb were excised and extracted from the gel using GELase (Epicentre). Cloning was done using uracil deglycosilase (UDG, LifeTechnologies) and chemically competent bacterial cells (XL-2 Blue, Stratagene).

#### Conventional Libraries

The DKFZp434 (human adult testis), DKFZp586 (human adult uterus), and DKFZp761 (human adult amygdala) libraries were generated using conventional approaches (Gubler and Hoffman 1983), employing a *NotI*-dT V primer for first-strand synthesis [GAGCGGCCGC(T)<sub>19</sub>V]. After second-strand synthesis, *Sall* adapters were ligated to the blunted cDNA. Then the cDNA was cut with *NotI* to generate *Sall*-*NotI*-compatible ends at the 5' and 3' ends of the cDNA, respectively, to allow directional cloning. The cDNAs were then size-selected on agarose gels in two dimensions and cloned into pSPORT1 pre-cut with *Sall* and *NotI* (Life Technologies).

#### Availability of cDNA Libraries and Clones

All libraries have been arrayed into 384-well microtiter plates and spotted on high-density nylon membranes. Each library consists of 27,000 clones or multiples thereof. High-density clone filters and individual clones are available through the Resource Center of the German Genome Project (<http://www.RZPD.de>; [clone@pzpd.de](mailto:clone@pzpd.de)).

#### Selection of Clones for Sequencing

First, 5' ESTs were systematically generated from all clones of 384-well microtiter plates. The sequences were analyzed with BLASTN (Altschul et al. 1990) and BLASTX (Gish and States 1993) against EMBL, PIR, SWISSPROT, and TREMBL databases for the lack of identical (>95% identity over 50 bp) matches with known cDNAs, and for the presence of ORFs.

Clones with novel sequences were 3' end sequenced. These 3' ESTs were checked for the lack of matches with known genes in public databases, for repeat structures, and for the presence of polyadenylation signals. Clones matching the selection criteria were subjected to full-length sequencing.

#### Sequencing Methodology and Strategy

Sequencing was done preferentially using dye terminator chemistry (Applied Biosystems or Amersham) on ABI 377 automated DNA sequencers; one partner used EMBL prototype instruments (Wiemann et al. 1995) mainly with dye primer chemistry. Primer walking (Strauss et al. 1986) was the preferred sequencing strategy for the full-length sequencing of cDNAs. Design of walking primers was done preferentially using software (e.g., Schwager et al. 1995; Haas et al. 1998) that permitted the complete automation of this usually-time-consuming process and thus helped in the parallel processing of large numbers of clones.

#### Bioinformatic Analysis

Every complete cDNA sequence was compared with the sequences in EMBL, EMBL-EST, EMBL-STS using BLASTN (Altschul et al. 1990). Searches against EMBL were done to determine whether the cDNAs were already known and to identify any genomic sequence information available that would cover the respective genes. Searches against EMBL-EST

were performed to analyze for the abundance of transcripts, to obtain information on a possible tissue specificity of expression, and to identify putative alternative splice forms or alternative use of polyadenylation signals. The annotations on the source tissue of the respective EST clones were parsed from the database entries to calculate the real ratio versus the expected ratio of expression according to the equation: (# hits tissue/total # hits)/(# ESTs tissue/total # ESTs). A gene that was transcribed at a constant level in many tissues would have a ratio of one. Significant higher or lower ratios would indicate increased or decreased levels of transcription in the tissue, respectively. To identify tissue-specific expression, the parameters were set to >4 ESTs matching the respective cDNA that needed to have been sequenced from a given tissue, and the cutoff for the ratio of overexpression was set to five. ESTs originating from pooled tissues or that were of unspecified origin were disregarded in this analysis. To obtain chromosomal mapping information, the sequences were aligned with the EMBL-STS database.

The potential protein-sequences were identified by a search for the longest ORF in each of the three forward frames with a minimum length of 90 codons. The deduced protein sequences were searched against the nonredundant protein data set of PIR, SWISSPROT, and TREMBL [BLASTP, using the SEG-filter by Wootton (1994)]. Any cDNAs without ORF >90 codons were analyzed with BLASTN against TREMBL to identify even shorter ORFs present.

BLASTX searches were performed against a nonredundant protein database comprising PIR, SWISSPROT, and TREMBL. The SEG-filter was used to screen for potential frame shifts in the coding sequences of the cDNAs and to identify cDNAs that were not fully spliced or were alternatively spliced. The protein sequence was then transferred to PEDANT (Frishman and Mewes 1997). PEDANT performed automated database searches: psiBLAST (Altschul et al. 1997), an iterated profile search procedure; HMMER (Sonnhammer et al. 1997), a Hidden Markov model software which uses statistical descriptions of a sequence family's consensus; and BLIMPS (Wallace and Henikoff 1992) for similarity searches against the BLOCKS (Henikoff et al. 2000) database. PROSITE protein sequence patterns were identified by ProSearch (Kolakowski et al. 1992). CLUSTAL-W (Thompson et al. 1994) was used for multiple sequence alignments of DNA and proteins. Transmembrane regions were identified by ALOM2 (Klein et al. 1984), and signal peptides in secreted proteins by SIGNALP (Nielsen et al. 1997). SEG (Wootton and Federhen 1993) has been employed to detect low-complexity regions in protein sequences and COILS (Lupas et al. 1991) for the detection of coiled coils. For the functional classification of the cDNAs sequence, identities with *E*-values <10E-30 (BLASTN) and <10E-10 (BLASTX) were accepted to be significant. The comprehensive bioinformatic data on all cDNAs analyzed by the Consortium are accessible at <http://www2.mips.biochem.mpg.de/proj/cDNA/index.html>. Mapping of the cDNAs to chromosomes was done first by BLAST analysis of the cDNA sequences against the human genomic sequence (NCBI-hg18 database), followed by identifying the mapping position with help of the GoldenPath (Jim Kent, UCSC) browser (<http://genome.ucsc.edu/goldenPath/hgTracks.html>).

#### Availability of Clones and Further Information

All clones described here, and the other clones analyzed by the German cDNA Consortium, are available from the Resource Center of the German Genome Project (<http://www.RZPD.de>).

www.rzpd.de; clone@rzpd.de). The comprehensive bioinformatic data on all cDNAs analyzed by the Consortium are accessible at <http://www2.mips.biochem.mpg.de/proj/cDNA/index.html>. Additional information about the analysis of the described set of cDNAs is available at <http://www.dkfz-heidelberg.de/abt0840/GCC>. The full version of Table 2 can be obtained at this location in Excel, tab-delimited text, and pdf formats.

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# Aneuploidy and cancer

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Numeric aberrations in chromosomes, referred to as aneuploidy, is commonly observed in human cancer. Whether aneuploidy is a cause or consequence of cancer has long been debated. Three lines of evidence now make a compelling case for aneuploidy being a discrete chromosome mutation event that contributes to malignant transformation and progression process. First, precise assay of chromosome aneuploidy in several primary tumors with *in situ* hybridization and comparative genomic hybridization techniques have revealed that specific chromosome aneusomies correlate with distinct tumor phenotypes. Second, aneuploid tumor cell lines and *in vitro* transformed rodent cells have been reported to display an elevated rate of chromosome instability, thereby indicating that aneuploidy is a dynamic chromosome mutation event associated with transformation of cells. Third, and most important, a number of mitotic genes regulating chromosome segregation have been found mutated in human cancer cells, implicating such mutations in induction of aneuploidy in tumors. Some of these gene mutations, possibly allowing unequal segregations of chromosomes, also cause tumorigenic transformation of cells *in vitro*. In this review, the recent publications investigating aneuploidy in human cancers, rate of chromosome instability in aneuploid tumor cells, and genes implicated in regulating chromosome segregation found mutated in cancer cells are discussed. *Curr Opin Oncol* 2000; 12:82-88 © 2000 Lippincott Williams & Wilkins, Inc.

Cancer research over the past decade has firmly established that malignant cells accumulate a large number of genetic mutations that affect differentiation, proliferation, and cell death processes. In addition, it is also recognized that most cancers are clonal, although they display extensive heterogeneity with respect to karyotypes and phenotypes of individual clonal populations. It is estimated that numeric chromosomal imbalance, referred to as *aneuploidy*, is the most prevalent genetic change recorded among over 20,000 solid tumors analyzed thus far [1]. Phenotypic diversity of the clonal populations in individual tumors involve differences in morphology, proliferative properties, antigen expression, drug sensitivity, and metastatic potentials. It has been proposed that an underlying acquired genetic instability is responsible for the multiple mutations detected in cancer cells that lead to tumor heterogeneity and progression [2]. In a somewhat contradictory argument, it has also been suggested that clonal expansion due to selection of cells undergoing normal rates of mutation can explain malignant transformation and progression process in humans [3]. Acquired genetic instability, nonetheless, is considered important for more rapid progression of the disease [4-6]. Although the original hypothesis on genetic instability in cancer primarily focused on chromosomal imbalances in the form of aneuploidy in tumor cells, the actual relevance of such mutations in cancer remains a controversial issue.

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## Abbreviations

CGH	comparative genomic hybridization
CHE	Chinese hamster embryo cells
FISH	fluorescence <i>in situ</i> hybridization
HPRC	hereditary papillary renal carcinoma
ISH	<i>in situ</i> hybridization

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Whether or not aneuploidy contributes to the malignant transformation and progression process has long been debated. A prevalent idea on genetics of cancer referred to as "somatic gene mutation hypothesis" contends that gene mutations at the nucleotide level alone can cause cancer by either activating cellular proto-oncogenes to dominant cancer causing oncogenes and/or by inactivating growth inhibitory tumor suppressor genes. In this scheme of things chromosomal instability in the form of aneuploidy is a mere consequence rather than a cause of malignant transformation and progression process.

In this review, some of the recent observations on the subject are discussed and compelling evidence is provided to suggest that aneuploidy is a distinct form of genetic instability in cancer that frequently correlates with specific phenotypes and stages of the disease. Furthermore, discrete genetic targets affecting chromosomal stability in cancer cells, recently identified, are also discussed. These data provide a new direction toward elucidating the molecular mechanisms respon-

ble for induction of aneuploidy in cancer and may eventually be exploited as novel therapeutic targets in the future.

### Genetic alterations in cancer

Alterations in many genetic loci regulating growth, senescence, and apoptosis, identified in tumor cells, have led to the current understanding of cancer as a genetic disease. The genetic changes identified in tumors include: subtle mutations in genes at the nucleotide level; chromosomal translocations leading to structural rearrangements in genes; and numeric changes in either partial segments of chromosomes or whole chromosomes (aneuploidy) causing imbalance in gene dosage.

For the purpose of this review, both segmental and whole chromosome imbalances leading to altered DNA dosage in cancer cells are included as examples of aneuploidy.

### Incidence of aneuploidy in cancer

Evidence of aneuploidy involving one or more chromosomes have been commonly reported in human tumors. Although these observations were initially made using classic cytogenetic techniques late in a tumor's evolution and were difficult to correlate with cancer progression, more recent studies have reported association of specific nonrandom chromosome aneuploidy with different biologic properties such as loss of hormone dependence and metastatic potential [5].

Classic cytogenetic studies performed on tumor cells had serious limitations in scope because they were applicable only to those cases in which mitotic chromosomes could be obtained. Because of low spontaneous rates of cell division in primary tumors, analyses depended on cells either derived selectively from advanced metastases or those grown *in vitro* for variable periods of time. In both instances, metaphases analyzed represented only a subset of primary tumor cell population. Two major advances in cytogenetic analytic techniques, *in situ* hybridization (ISH) and comparative genomic hybridization (CGH), have allowed better resolution of chromosomal aberrations in freshly isolated tumor cells [6]. ISH analyses with chromosome-specific DNA probes, a powerful adjunct to metaphasic analysis, allows assessment of chromosomal anomalies within tumor cell populations in the contexts of whole nuclear architecture and tissue organization. CGH allows genome wide screening of chromosomal anomalies without the use of specific probes even in the absence of prior knowledge of chromosomes involved. Although both techniques have certain limitations in terms of their resolution power, they nonetheless provide a better approximation of chromosomal changes occurring among tumors of various histology, grade, and stage

compared with what was possible with the classic cytogenetic techniques. Genomic ploidy measurements have also been performed at the DNA level with flow cytometry and cytofluorometric methods. Although these assays underestimate chromosome ploidy due to a chromosomal gain occasionally masking a chromosomal loss in the same cell, several studies using these methods have supported the conclusion that DNA aneuploidy closely associates with poor prognosis in various cancers [7,8]. This discussion of some recent examples published on aneuploidy in cancer includes discussion of studies dealing with DNA ploidy measurements as well. Most of these observations are correlative without direct proof of specific involvement of genes on the respective chromosomes. Identification of putative oncogenes and tumor suppressor genes on gained and lost chromosomes in aneuploid tumors, however, are providing strong evidence that chromosomes involved in aneuploidy play a critical role in the tumorigenic process.

In renal tumors, either segmental or whole chromosome aneuploidy appears to be uniquely associated with specific histologic subtypes [9]. Tumors from patients with hereditary papillary renal carcinomas (HPRC) commonly show trisomy of chromosome 7, when analyzed by CGH. Germline mutations of a putative oncogene *MET* have been detected in patients with HPRC. A recent study [10] has demonstrated that an extra copy of chromosome 7 results in nonrandom duplication of the mutant *MET* allele in HPRC, thereby implicating this trisomy in tumorigenesis. The study suggested that mutation of *MET* may render the cells more susceptible to errors in chromosome replication, and that clonal expansion of cells harboring duplicated chromosome 7 reflects their proliferative advantage. In addition to chromosome 7, trisomy of chromosome 17 in papillary tumors and also of chromosome 8 in mesoblastic nephroma are commonly seen. Association of specific chromosome imbalances with benign and malignant forms of papillary renal tumors, therefore, not only contribute to an understanding of tumor origins and evolution, but also implicate aneuploidy of the respective chromosomes in the tumorigenic transformation process.

In colorectal tumors, chromosome aneuploidy is a common occurrence. In fact, molecular allelotyping studies have suggested that limited karyotyping data available from these tumors actually underestimate the true extent of these changes. Losses of heterozygosity reflecting loss of the maternal or paternal allele in tumors are widespread and often accompanied by a gain of the opposite allele. Therefore, for example, a tumor could lose a maternal chromosome while duplicating the same paternal chromosome, leaving the tumor cell

with a normal karyotype and ploidy but an aberrant allelotype. It has been estimated that cancer of the colon, breast, pancreas, or prostate may lose an average of 25% of its alleles. It is not unusual to discover that a tumor has lost over half of its alleles [4]. In clinical settings, DNA ploidy measurements have revealed that DNA aneuploidy indicates high risk of developing severe premalignant changes in patients with ulcerative colitis, who are known to have an increased risk of developing colorectal cancer [11]. DNA aneuploidy has been found to be one of the useful indicators of lymph node metastasis in patients with gastric carcinoma and associated with poor outcome compared with diploid cases [12,13]. CGH analyses of chromosome aneuploidy, on the other hand, was reported to correlate gain of chromosome 20q with high tumor S phase fractions and loss of 4q with low tumor apoptotic indices [14]. Aneuploidy of chromosome 4 in metastatic colorectal cancer has recently been confirmed in studies that used unbiased DNA fingerprinting with arbitrarily primed polymerase chain reactions to detect moderate gains and losses of specific chromosomal DNA sequences [15]. The molecular karyotype (amplotype) generated from colorectal cancer revealed that moderate gains of sequences from chromosomes 8 and 13 occurred in most tumors, suggesting that overrepresentation of these chromosomal regions is a critical step for metastatic colorectal cancer.

In addition to being implicated in tumorigenesis and correlated with distinct tumor phenotypes, chromosome aneuploidy has been used as a marker of risk assessment and prognosis in several other cancers. The potential value of aneuploidy as a noninvasive tool to identify individuals at high risk of developing head and neck cancer appears especially promising. Interphase fluorescence *in situ* hybridization (FISH) revealed extensive aneuploidy in tumors from patients with head and neck squamous cell carcinomas (HNSCC) and also in clinically normal distant oral regions from the same individuals [16,17]. It has been proposed that a panel of chromosome probes in FISH analyses may serve as an important tool to detect subclinical tumorigenesis and for diagnosis of residual disease. The presence of aneuploid or tetraploid populations is seen in 90% to 95% of esophageal adenocarcinomas, and when seen in conjunction with Barrett's esophagus, a premalignant condition, predicts progression of disease [18,19]. Chromosome ploidy analyses in conjunction with loss of heterozygosity and gene mutation studies in Barrett's esophagus reflect evolution of neoplastic cell lineages *in vivo* [20]. Evolution of neoplastic progeny from Barrett's esophagus following somatic genetic mutations frequently involves bifurcations and loss of heterozygosity at several chromosomal loci leading to aneuploidy and cancer. Accordingly, it is hypothesized that during

tumor cell evolution diploid cell progenitors with somatic genetic abnormalities undergo expansion with acquired genetic instability. Such instability, often manifested in the form of increased incidence of aneuploidy, enters a phase of clonal evolution beginning in premalignant cells that proceeds over a period of time and occasionally leads to malignant transformation. The clonal evolution continues even after the emergence of cancer.

The significance of DNA and chromosome aneuploidy in other human cancers continue to be evaluated. Among papillary thyroid carcinomas, aneuploid DNA content in tumor cells was reported to correlate with distant metastases, reflecting worsened prognosis [21]. Genome wide screening of follicular thyroid tumors by CGH, on the other hand, revealed frequent loss of chromosome 22 in widely invasive follicular carcinomas [22]. Chromosome copy number gains in invasive neoplasm compared with foci of ductal carcinoma-*in situ* (DCIS) with similar histology have been proposed to indicate involvement of aneuploidy in progression of human breast cancer [23]. ISH analyses of cervical intraepithelial neoplasia has provided suggestive evidence that chromosomes 1, 7 and X aneusomy is associated with progression toward cervical carcinoma [24].

Although the prognostic value of numeric aberrations remains a matter of debate in human hematopoietic neoplasia, there have been recent studies to suggest that the presence of monosomy 7 defines a distinct subgroup of acute myeloid leukemia patients [25]. It is interesting in this context that therapy-related myelodysplastic syndromes have been reported to display monosomy 5 and 7 karyotypes, reflecting poor prognosis [26].

The clinical observations, mentioned previously, are supported by *in vitro* studies in human and rodent cells in which aneuploidy is induced at early stages of transformation [27,28]. It is even suggested that aneuploidy may cause cell immortalization, in some instances, that is a critical step preceding transformation.

Finally, in an interesting study to develop transgenic mouse models of human chromosomal diseases, chromosome segment specific duplication and deletions of the genome were reported to be constructed in mouse embryonic stem cells [29]. Three duplications for a portion of mouse chromosome 11 syntenic with human chromosome 17 were established in the mouse germline. Mice with 1Mb duplication developed corneal hyperplasia and thymic tumors. The findings represent the first transgenic mouse model of aneuploidy of a defined chromosome segment that documents the direct role of chromosome aneusomy in tumorigenesis.

### Aneuploidy as "dynamic cancer-causing mutation" instead of a "consequential state" in cancer

According to the hypothesis previously discussed, aneuploidy represents either a "gain of function" or "loss of function" mutation at the chromosome level with a causative influence on the tumorigenesis process. The hypothesis, however, is based only on circumstantial evidence even though existence of aneuploidy is correlated with different tumor phenotypes. The existence of numeric chromosomal alterations in a tumor does not mean that the change arose as a dynamic mutation due to genomic instability, because several factors could lead to consequential aneuploidy in tumors, also. Although aneuploidy as a dynamic mutation due to genomic instability in tumor cells would occur at a certain measurable rate per cell generation, a consequential state of aneuploidy in tumors may not occur at a predictable rate under similar conditions or in tumors with similar phenotypes. In addition to genomic instability, differences in environmental factors with selective pressure, could explain high incidence of aneuploidy and other somatic mutations in tumors compared with normal cells [4]. These include humoral, cell substratum, and cell-cell interaction differences between tumor and normal cell environments. It could be argued that despite similar rates of spontaneous aneuploidy induction in normal and tumor cells, the latter are selected to proliferate due to altered selective pressure in the tumor cell environment, whereas the normal cells are eliminated through activation of apoptosis. Alternatively, of course, one could postulate that selective expression or overexpression of anti-apoptotic proteins or inactivation of proapoptotic proteins in tumor cells may counteract default induction of apoptosis in G2/M phase cells undergoing missegregation of chromosomes. Recent demonstration of overexpression of a G2/M phase anti-apoptotic protein survivin in cancer cells [30] suggests that this protein may favor aberrant progression of aneuploid transformed cells through mitosis. This would then lead to proliferation of aneuploid cell lineages, which may undergo clonal evolution.

To ascertain that aneuploidy is a dynamic mutational event, various human tumor cell lines and transformed rodent cell lines have been analyzed for the rate of aneuploidy induction. When grown under controlled *in vitro* conditions, such conditions ensure that environmental factors do not influence selective proliferation of cells with chromosome instability. In one study, Lengauer *et al.* [31•] provided unequivocal evidence by FISH analyses that losses or gains of multiple chromosomes occurred in excess of  $10^{-2}$  per chromosome per generation in aneuploid colorectal cancer cell lines. The study further concluded that such chromosomal instability appeared to be a dominant trait. Using another *in*

*vitro* model system of Chinese hamster embryo (CHE) cells, Duesberg *et al.* [32•] have also obtained similar results. With clonal cultures of CHE cells, transformed with nongenotoxic chemicals and a mitotic inhibitor, these authors demonstrated that the overwhelming majority of the transformed colonies contained more than 50% aneuploid cells, indicating that aneuploidy would have originated from the same cells that underwent transformation. All the transformed colonies tested were tumorigenic. It was further documented that the ploidy factor representing the quotient of the modal chromosome number divided by the normal diploid number, in each clone, correlated directly with the degree of chromosomal instability. Therefore, chromosomal instability was found proportional to the degree of aneuploidy in the transformed cells and the authors hypothesized that aneuploidy is a unique mechanism of simultaneously altering and destabilizing, in a massive manner, the normal cellular phenotypes. In the absence of any evidence that the transforming chemicals used in the study did not induce other somatic mutations, it is difficult to rule out the contribution of such mutations in the transformation process. These results nonetheless make a strong case for aneuploidy being a dynamic chromosome mutation event intimately associated with cancer.

### Aneuploidy versus somatic gene mutation in cancer

The idea that numeric chromosome imbalance or aneuploidy is a direct cause of cancer was proposed at the turn of the century by Theodore Boveri [33]. However, the hypothesis was largely ignored over the last several decades in favor of the somatic gene mutation hypothesis, mentioned earlier. Evidence accumulating in the literature lately on specific chromosome aneusomies recognized in primary tumors, incidence of aneuploidy in cells undergoing transformation, and aneuploid tumor cells showing a high rate of chromosome instability have led to the rejuvenation of Boveri's hypothesis. The concept has recently been discussed as a "vintage wine in a new bottle" [34•]. The author points out that except for rare cancers caused by dominant retroviral oncogenes, diploidy does not seem to occur in solid tumors, whereas aneuploidy is a rule rather than exception in cancer.

Aneuploidy as an effective mutagenic mechanism driving tumor progression, on the other hand, is being recognized as a viable solution to the paradox that with known mutation rate in non-germline cells ( $\sim 10^{-7}$  per gene per cell generation) tumor cell lineages cannot accumulate enough mutant genes during a human lifetime [35]. The concept is gaining significant credibility since genes that potentially affect chromosome segregation were found mutated in human cancer. Some of

these genes have also been shown to have transforming capability in *in vitro* assays. Selected recent publications describing the findings are being discussed below in reference to the mitotic targets potentially involved in inducing chromosome segregation anomalies in cells.

### Potential mitotic targets and molecular mechanisms of aneuploidy

Because aneuploidy represents numeric imbalance in chromosomes, it is reasonable to expect that aneuploidy arises due to missegregation of chromosomes during cell division. There are many potential mitotic targets, which could cause unequal segregation of chromosomes (Fig. 1). Recent investigations have identified several genes involved in regulating these mitotic targets and mitotic checkpoint functions, which can be implicated in induction of aneuploidy in tumor cells. This discussion is restricted to those mitotic targets and checkpoint genes whose abnormal functioning has been observed in cancer or has been shown to cause tumorigenic transformation of cells, in recent years. The role of telomeres is discussed elsewhere in this issue. For a more detailed description of the components of mitotic machinery and their possible involvement in causing chromosome segregation abnormalities in tumor cells, readers may refer to a recently published review [36\*].

Among the mitotic targets implicated in cancer, centrosome defects have been observed in a wide variety of malignant human tumors. Centrosomes play a central role in organizing the microtubule network in interphase cells and mitotic spindle during cell division. Multipolar mitotic spindles have been observed in human cancers *in situ* and abnormalities in the form of supernumerary

centrosomes, centrosomes of aberrant size and shape as well as aberrant phosphorylation of centrosome proteins have been reported in prostate, colon, brain, and breast tumors [37,38]. In view of the findings that abnormal centrosomes retain the ability to nucleate microtubules *in vitro*, it is conceivable that cells with abnormal centrosomes may missegregate chromosomes producing aneuploid cells. The molecular and genetic bases of abnormal centrosome generation and the precise pathway through which they regulate the chromosome segregation process remain to be elucidated. Recent discovery of a centrosome-associated kinase STK15/BTAK/aurora2, naturally amplified and overexpressed in human cancers, has raised the interesting possibility that aberrant expression of this kinase is critically involved in abnormal centrosome function and unequal chromosome segregation in tumor cells [39,40]. Exogenous expression of the kinase in rodent and human cells was found to correlate with an abnormal number of centrosomes, unequal partitioning of chromosomes during division, and tumorigenic transformation of cells. It is relevant in this context to mention that the Xenopus homologue of human STK15/BTAK/aurora2 kinase has recently been shown to phosphorylate a microtubule motor protein XIfg5, the human orthologue of which is known to participate in the centrosome separation during mitosis [41]. Findings on STK15/aurora2 kinase, thus, provide an interesting lead to a possible molecular mechanism of centrosome's role in oncogenesis. Centrosomes have, of late, been implicated in oncogenesis from studies revealing supernumerary centrosomes in *p53*-deficient fibroblasts and overexpression of another centrosome kinase PLK1 being detected in human non-small cell lung cancer [42].

One of the critical events that ensures equal partitioning of the chromosomes during mitosis is the proper and timely separation of sister chromatids that are attached to each other and to the mitotic spindle. Untimely separation of sister chromatids has been suspected as a cause of aneuploidy in human tumors. Cohesion between sister chromatids is established during replication of chromosomes and is retained until the next metaphase/anaphase transition. It has been shown that during metaphase-anaphase transition, the anaphase promoting complex/cyclosome triggers the degradation of a group of proteins called securins that inhibit sister chromatid separation. A vertebrate securin (v-securin) has recently been identified that inhibits sister chromatid separation and is involved in transformation and tumorigenesis. Subsequent analysis revealed that the human securin is identical to the product of the gene called pituitary tumor transforming gene, which is overexpressed in some tumors and exhibits transforming activity in NIH3T3 cells. It is proposed that elevated expression of the v-securin may contribute to generation of malignant tumors due to

Figure 1. Potential mitotic targets causing aneuploidy in oncogenesis

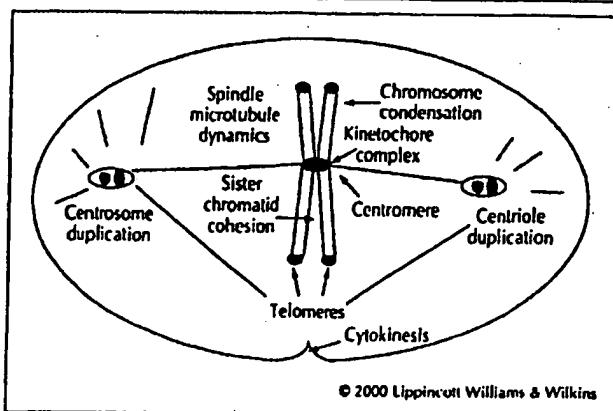


Diagram illustrates that defects in several processes involving chromosomal, spindle microtubule, and centrosomal targets, in addition to abnormal cytokinesis, may cause unequal partitioning of chromosomes during mitosis, leading to aneuploidy. Recently obtained evidence in favor of some of these possibilities is discussed in the text.

chromosome gain or loss produced by errors in chromatid separation [43•].

Normal progression through mitosis during prophase to anaphase transition is monitored at least at two checkpoints. One checkpoint operates during early prophase at G2 to metaphase progression while the second ensures proper segregation of chromosomes during metaphase to anaphase transition. Several mitotic checkpoint genes responding to mitotic spindle defects have been identified in yeast. The metaphase-anaphase transition is delayed following activation of this checkpoint during which kinetochores remain unattached to the spindle. The signal is transmitted through a kinetochore protein complex consisting of Mps1p and several Mad and Bub proteins [44]. It is expected that for unequal chromosome segregation to be perpetuated through cell proliferation cycles giving rise to aneuploidy, checkpoint controls have to be abrogated.

Following this logic, Vogelstein *et al.* [45•] hypothesized that aneuploid tumors would reveal mutation in mitotic spindle checkpoint genes. Subsequent studies by these investigators have proven the validity of this hypothesis and a small fraction of human colorectal cancers have revealed the presence of mutations in either hBub1 or hBubR1 checkpoint genes. It was further revealed that mutant BUB1 could function in a dominant negative manner conferring an abnormal spindle checkpoint when expressed exogenously. Inactivation of spindle checkpoint function in virally induced leukemia has also recently been documented following the finding that hMAD1 checkpoint protein is targeted by the Tax protein of the human T-cell leukemia virus type 1. Abrogation of hMAD1 function leads to multinucleation and aneuploidy [46].

In addition to mitotic spindle checkpoint defects, failed DNA damage checkpoint function in yeast is frequently associated with aberrant chromosome segregation as well. It, therefore, appears intriguing yet relevant that the human *BRCA1* gene, proposed to be involved in DNA damage checkpoint function, when mutated by a targeted deletion of exon 11 led to defective G2/M cell cycle checkpoint function and genetic instability in mouse embryonic fibroblasts [47]. The cells revealed multiple functional centrosomes and unequal chromosome segregation and aneuploidy. Although the molecular basis for these abnormalities is not known at this time, it raises the interesting possibility that such an aneuploidy-driven mechanism may be involved in tumorigenesis in individuals carrying germline mutations of *BRCA1* gene.

## Conclusion

Growing evidence from human tumor cytogenetic investigations strongly suggest that aneuploidy is associated with the development of tumor phenotypes. Clinical findings of correlation between aneuploidy and tumorigenesis are supported by studies with *in vitro* grown transformed cell lines. Molecular genetic analyses of tumor cells provide credible evidence that mutations in genes controlling chromosome segregation during mitosis play a critical role in causing chromosome instability leading to aneuploidy in cancer. Further elucidation of molecular and physiologic bases of chromosome instability and aneuploidy induction could lead to the development of new therapeutic approaches for common forms of cancer.

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Figure 304 shows the amino acid sequence (SEQ ID NO:422) derived from the coding sequence of SEQ ID NO:421 shown in Figure 303.

Figure 305 shows a nucleotide sequence (SEQ ID NO:423) of a native sequence PRO1384 (UNQ721) cDNA, wherein SEQ ID NO:423 is a clone designated herein as "DNA71159-1617".

5 Figure 306 shows the amino acid sequence (SEQ ID NO:424) derived from the coding sequence of SEQ ID NO:423 shown in Figure 305.

Figure 307 shows a nucleotide sequence (SEQ ID NO:494) of a native sequence PRO183 cDNA, wherein SEQ ID NO:494 is a clone designated herein as "DNA28498".

10 Figure 308 shows the amino acid sequence (SEQ ID NO:495) derived from the coding sequence of SEQ ID NO:494 shown in Figure 307.

Figure 309 shows a nucleotide sequence (SEQ ID NO:496) of a native sequence PRO184 cDNA, wherein SEQ ID NO:496 is a clone designated herein as "DNA28500".

15 Figure 310 shows the amino acid sequence (SEQ ID NO:497) derived from the coding sequence of SEQ ID NO:496 shown in Figure 309.

Figure 311 shows a nucleotide sequence (SEQ ID NO:498) of a native sequence PRO185 cDNA, wherein SEQ ID NO:498 is a clone designated herein as "DNA28503".

20 Figure 312 shows the amino acid sequence (SEQ ID NO:499) derived from the coding sequence of SEQ ID NO:498 shown in Figure 311.

Figure 313 shows a nucleotide sequence (SEQ ID NO:500) of a native sequence PRO331 cDNA, wherein SEQ ID NO:500 is a clone designated herein as "DNA40981-1234".

25 Figure 314 shows the amino acid sequence (SEQ ID NO:501) derived from the coding sequence of SEQ ID NO:500 shown in Figure 313.

Figure 315 shows a nucleotide sequence (SEQ ID NO:502) of a native sequence PRO363 cDNA, wherein SEQ ID NO:502 is a clone designated herein as "DNA45419-1252".

30 Figure 316 shows the amino acid sequence (SEQ ID NO:503) derived from the coding sequence of SEQ ID NO:502 shown in Figure 315.

Figure 317 shows a nucleotide sequence (SEQ ID NO:504) of a native sequence PRO5723 cDNA, wherein SEQ ID NO:504 is a clone designated herein as "DNA82361".

35 Figure 318 shows the amino acid sequence (SEQ ID NO:505) derived from the coding sequence of SEQ ID NO:504 shown in Figure 317.

Figure 319 shows a nucleotide sequence (SEQ ID NO:506) of a native sequence PRO3301 cDNA, wherein SEQ ID NO:506 is a clone designated herein as "DNA88002".

Figure 320 shows the amino acid sequence (SEQ ID NO:507) derived from the coding sequence of SEQ ID NO:506 shown in Figure 319.

40 Figure 321 shows a nucleotide sequence (SEQ ID NO:508) of a native sequence PRO9940 cDNA, wherein SEQ ID NO:508 is a clone designated herein as "DNA92282".

Figure 322 shows the amino acid sequence (SEQ ID NO:509) derived from the coding sequence of SEQ ID NO:508 shown in Figure 321.

Figure 323 shows a nucleotide sequence (SEQ ID NO:510) of a native sequence PRO9828 cDNA, wherein SEQ ID NO:510 is a clone designated herein as "DNA142238-2768".

Figure 324 shows the amino acid sequence (SEQ ID NO:511) derived from the coding sequence of SEQ ID NO:510 shown in Figure 323.

5 Figure 325 shows a nucleotide sequence (SEQ ID NO:512) of a native sequence PRO7170 cDNA, wherein SEQ ID NO:512 is a clone designated herein as "DNA108722-2743".

Figure 326 shows the amino acid sequence (SEQ ID NO:513) derived from the coding sequence of SEQ ID NO:512 shown in Figure 325.

10 Figure 327 shows a nucleotide sequence (SEQ ID NO:514) of a native sequence PRO361 cDNA, wherein SEQ ID NO:514 is a clone designated herein as "DNA45410-1250".

Figure 328 shows the amino acid sequence (SEQ ID NO:515) derived from the coding sequence of SEQ ID NO:514 shown in Figure 327.

15 Figure 329 shows a nucleotide sequence (SEQ ID NO:516) of a native sequence PRO846 cDNA, wherein SEQ ID NO:516 is a clone designated herein as "DNA44196-1353".

Figure 330 shows the amino acid sequence (SEQ ID NO:517) derived from the coding sequence of SEQ ID NO:516 shown in Figure 329.

#### DETAILED DESCRIPTION OF THE PREFERRED EMBODIMENTS

##### I. Definitions

20 The terms "PRO polypeptide" and "PRO" as used herein and when immediately followed by a numerical designation refer to various polypeptides, wherein the complete designation (i.e., PRO/number) refers to specific polypeptide sequences as described herein. The terms "PRO/number polypeptide" and "PRO/number" wherein the term "number" is provided as an actual numerical designation as used herein encompass native sequence polypeptides and polypeptide variants (which are further defined herein). The PRO polypeptides described herein may be isolated from a variety of sources, such as from human tissue types or 25 from another source, or prepared by recombinant or synthetic methods.

30 A "native sequence PRO polypeptide" comprises a polypeptide having the same amino acid sequence as the corresponding PRO polypeptide derived from nature. Such native sequence PRO polypeptides can be isolated from nature or can be produced by recombinant or synthetic means. The term "native sequence PRO polypeptide" specifically encompasses naturally-occurring truncated or secreted forms of the specific PRO polypeptide (e.g., an extracellular domain sequence), naturally-occurring variant forms (e.g., alternatively 35 spliced forms) and naturally-occurring allelic variants of the polypeptide. In various embodiments of the invention, the native sequence PRO polypeptides disclosed herein are mature or full-length native sequence polypeptides comprising the full-length amino acids sequences shown in the accompanying figures. Start and stop codons are shown in bold font and underlined in the figures. However, while the PRO polypeptide disclosed in the accompanying figures are shown to begin with methionine residues designated herein as amino acid position 1 in the figures, it is conceivable and possible that other methionine residues located either upstream or downstream from the amino acid position 1 in the figures may be employed as the starting amino

acid residue for the PRO polypeptides.

The PRO polypeptide "extracellular domain" or "ECD" refers to a form of the PRO polypeptide which is essentially free of the transmembrane and cytoplasmic domains. Ordinarily, a PRO polypeptide ECD will have less than 1% of such transmembrane and/or cytoplasmic domains and preferably, will have less than 0.5% of such domains. It will be understood that any transmembrane domains identified for the PRO polypeptides of the present invention are identified pursuant to criteria routinely employed in the art for identifying that type of hydrophobic domain. The exact boundaries of a transmembrane domain may vary but most likely by no more than about 5 amino acids at either end of the domain as initially identified herein. Optionally, therefore, an extracellular domain of a PRO polypeptide may contain from about 5 or fewer amino acids on either side of the transmembrane domain/extracellular domain boundary as identified in the Examples or specification and such polypeptides, with or without the associated signal peptide, and nucleic acid encoding them, are contemplated by the present invention.

The approximate location of the "signal peptides" of the various PRO polypeptides disclosed herein are shown in the present specification and/or the accompanying figures. It is noted, however, that the C-terminal boundary of a signal peptide may vary, but most likely by no more than about 5 amino acids on either side of the signal peptide C-terminal boundary as initially identified herein, wherein the C-terminal boundary of the signal peptide may be identified pursuant to criteria routinely employed in the art for identifying that type of amino acid sequence element (e.g., Nielsen et al., Prot. Eng. 10:1-6 (1997) and von Heinje et al., Nucl. Acids. Res. 14:4683-4690 (1986)). Moreover, it is also recognized that, in some cases, cleavage of a signal sequence from a secreted polypeptide is not entirely uniform, resulting in more than one secreted species. These mature polypeptides, where the signal peptide is cleaved within no more than about 5 amino acids on either side of the C-terminal boundary of the signal peptide as identified herein, and the polynucleotides encoding them, are contemplated by the present invention.

"PRO polypeptide variant" means an active PRO polypeptide as defined above or below having at least about 80% amino acid sequence identity with a full-length native sequence PRO polypeptide sequence as disclosed herein, a PRO polypeptide sequence lacking the signal peptide as disclosed herein, an extracellular domain of a PRO polypeptide, with or without the signal peptide, as disclosed herein or any other fragment of a full-length PRO polypeptide sequence as disclosed herein. Such PRO polypeptide variants include, for instance, PRO polypeptides wherein one or more amino acid residues are added, or deleted, at the N- or C-terminus of the full-length native amino acid sequence. Ordinarily, a PRO polypeptide variant will have at least about 80% amino acid sequence identity, preferably at least about 81% amino acid sequence identity, more preferably at least about 82% amino acid sequence identity, more preferably at least about 83% amino acid sequence identity, more preferably at least about 84% amino acid sequence identity, more preferably at least about 85% amino acid sequence identity, more preferably at least about 86% amino acid sequence identity, more preferably at least about 87% amino acid sequence identity, more preferably at least about 88% amino acid sequence identity, more preferably at least about 89% amino acid sequence identity, more preferably at least about 90% amino acid sequence identity, more preferably at least about 91% amino acid sequence identity, more preferably at least about 92% amino acid sequence identity, more preferably at least

about 93% amino acid sequence identity, more preferably at least about 94% amino acid sequence identity, more preferably at least about 95% amino acid sequence identity, more preferably at least about 96% amino acid sequence identity, more preferably at least about 97% amino acid sequence identity, more preferably at least about 98% amino acid sequence identity and most preferably at least about 99% amino acid sequence identity with a full-length native sequence PRO polypeptide sequence as disclosed herein, a PRO polypeptide sequence lacking the signal peptide as disclosed herein, an extracellular domain of a PRO polypeptide, with or without the signal peptide, as disclosed herein or any other specifically defined fragment of a full-length PRO polypeptide sequence as disclosed herein. Ordinarily, PRO variant polypeptides are at least about 10 amino acids in length, often at least about 20 amino acids in length, more often at least about 30 amino acids in length, more often at least about 40 amino acids in length, more often at least about 50 amino acids in length, more often at least about 60 amino acids in length, more often at least about 70 amino acids in length, more often at least about 80 amino acids in length, more often at least about 90 amino acids in length, more often at least about 100 amino acids in length, more often at least about 150 amino acids in length, more often at least about 200 amino acids in length, more often at least about 300 amino acids in length, or more.

"Percent (%) amino acid sequence identity" with respect to the PRO polypeptide sequences identified herein is defined as the percentage of amino acid residues in a candidate sequence that are identical with the amino acid residues in the specific PRO polypeptide sequence, after aligning the sequences and introducing gaps, if necessary, to achieve the maximum percent sequence identity, and not considering any conservative substitutions as part of the sequence identity. Alignment for purposes of determining percent amino acid sequence identity can be achieved in various ways that are within the skill in the art, for instance, using publicly available computer software such as BLAST, BLAST-2, ALIGN or Megalign (DNASTAR) software. Those skilled in the art can determine appropriate parameters for measuring alignment, including any algorithms needed to achieve maximal alignment over the full length of the sequences being compared. For purposes herein, however, % amino acid sequence identity values are generated using the sequence comparison computer program ALIGN-2, wherein the complete source code for the ALIGN-2 program is provided in Table 1 below. The ALIGN-2 sequence comparison computer program was authored by Genentech, Inc. and the source code shown in Table 1 below has been filed with user documentation in the U.S. Copyright Office, Washington D.C., 20559, where it is registered under U.S. Copyright Registration No. TXU510087. The ALIGN-2 program is publicly available through Genentech, Inc., South San Francisco, California or may be compiled from the source code provided in Table 1 below. The ALIGN-2 program should be compiled for use on a UNIX operating system, preferably digital UNIX V4.0D. All sequence comparison parameters are set by the ALIGN-2 program and do not vary.

In situations where ALIGN-2 is employed for amino acid sequence comparisons, the % amino acid sequence identity of a given amino acid sequence A to, with, or against a given amino acid sequence B (which can alternatively be phrased as a given amino acid sequence A that has or comprises a certain % amino acid sequence identity to, with, or against a given amino acid sequence B) is calculated as follows:

100 times the fraction X/Y

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